



National  
Endowment  
for the  
Humanities

Division  
of  
State  
Programs

Guidelines and  
Application Forms

Application Deadlines:  
October 8, 1993  
October 7, 1994

# State and Regional Exemplary Awards

## TABLE OF CONTENTS

	Page
Introduction	3
Planning Grants	3
Examples of Funded Projects	3
Deadline	4
Special Initiative	4
Proposal Format	4
Abstract	4
Narrative	4
Budget	5
Proposal Length and Number of Copies	5
Evaluation of Applications	6
General Facts about Preparing the Proposal	6
EEO Statement	6
Application Cover Sheet	9
Budget Instructions and Forms	11
Appendix	17

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## INTRODUCTION

The Division of State Programs offers annual support for State and Regional Exemplary Awards, for which all state humanities councils may individually or jointly apply. The purpose of this program is twofold: to enable state councils to undertake projects of a magnitude they might otherwise be unable to fund, and to recognize and provide support for humanities programs that are of outstanding quality. Exemplary Award projects may serve as models for public programming within a state or for other state councils; they may contribute to the institutional advancement of a state council or of those within a region or nationally.

It is also hoped that the projects will have long-term benefits for the humanities and, when appropriate, will result in such tangible products as traveling exhibitions, publications, or videotapes that extend the life of the project. The emphasis in these awards is on high-quality humanities projects which—whether they employ traditional or innovative approaches—enable state councils to continue to expand their intellectual horizons in order to reach, inform and engage their audiences more thoroughly.

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

Councils may request up to \$100,000 for a one-year statewide project or \$200,000 for a multi-year project. In addition to proposals from individual states, joint applications will be accepted for up to \$250,000 from two or more councils wishing to undertake a regional or interstate project. The states need not be geographically contiguous.

An individual council may apply for a planning grant, a grant for a full-scale project, or as part of a regional program; however, councils considering the submission of more than one proposal in a given year should discuss the applications with division staff in advance. No council should submit more than one application in a given year for an in-state project, and no council should submit more than two applications a year when one of those is for a regional project.

## PLANNING GRANTS

Councils may apply for planning grants in order to undertake the research and planning necessary for a major statewide or regional project. Planning grants are also available to increase the efficiency of administering statewide, regional, or national programs of the state councils. Normally, planning grants should not exceed \$25,000 for statewide projects or \$35,000 for regional projects. On occasion, a planning grant may be offered to a council applying for funding for a full-scale project if the evaluators conclude that a particularly promising project needs further development before implementation. The award of a planning grant does not necessarily indicate that a subsequent Exemplary Award application will be funded.

## EXAMPLES OF FUNDED PROJECTS

The following list gives examples of some of the types of projects that have been supported by State and Regional Exemplary Awards:

- reading/discussion programs for new adult readers using classical Greek texts, with preparatory workshops for participating librarians, tutors, and project scholars;
- an exhibit, an illustrated publication, and symposia on the role of Asian immigrants in a state's history, as well as conferences and teacher seminars dealing with contemporary Asian cultures;
- a traveling exhibit on the Ohio River basin that was installed on a barge and that stopped at twenty-one sites along the 700-mile course of the river. The project was implemented through a joint award to seven state councils;
- a conference on the theme of "home," followed by community programs at five sites, to help prepare local citizens to conduct historical research in their own communities and to share the resulting information through a three-day institute and a publication;
- a series of meetings and other planning activities for a major project on early twentieth-century American thought and culture, to consist of an exhibition, a state-

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wide conference, a museum internship program for teachers, and a library reading/discussion series, designed to focus attention on both the beginning and the end of the twentieth century; and

- a multi-year grant for residential institutes for secondary school teachers, matched by legislative and private sector support, on topics related to the Columbian Quincentenary, such as Europe and the Americas in 1492.

## DEADLINE

Applications are due at the Endowment on October 9 (1992), October 8 (1993), or on October 7 (1994) and are presented to the National Council on the Humanities for consideration in February. Funding decisions will be made by April 1. State councils planning to apply should confer with division staff well in advance of the October deadline.

## SPECIAL INITIATIVE

**The Emergence of Democracy:** In commemoration of the 2500th anniversary of the birth of democracy and in recognition of the spread of democratic institutions in our own time, the Endowment invites projects that focus on democracy, its origins and development, as well as its recent growth around the world. The collapse of the Soviet Union has created a renewed interest in—and greater opportunities for—the study of the history and culture of countries in that part of the world that have recently established democratic institutions. At the same time, the trend toward democracy in Latin America, as well as democratic movements in Asia and Africa, make the emergence of democracy a timely topic for research, educational, and public projects in the humanities.

The Endowment encourages projects that focus on the history and philosophy of democracy, on the historical and cultural contexts of emerging democracies and democratic movements around the world. The Endowment also encourages projects that make use of libraries, archives, and scholars inaccessible under previous regimes.

## PROPOSAL FORMAT

### I. Abstract

Provide an abstract of no more than 150 words that describes the proposed project's activities. Please type the abstract in Section 9 on the NEH Application Cover Sheet (Description of Project).

### II. Narrative

Reviewers will be asked to base their assessment of the application on the criteria outlined in either section A or B below, depending on whether the application is for a full-scale project or a planning grant. Applicants should refer to these criteria in writing the narrative section of the proposal.

#### A. Full-Scale Projects

(1) **Origin, Intellectual Need, and Humanities Content:** Clearly describe the origin of the project idea and why this project has been identified as promising for the state or states involved and worthy of consideration as an Exemplary Award. Disciplines of the humanities that are central to the project should be explicit and the intellectual content of the project should be clear and compelling. Clearly explain what information in the humanities the project will offer to the project participants. Explain how the project relates to the overall goals of the state council. Include an assessment of previous efforts and accomplishments toward those goals. If the proposal has developed out of another project, provide an assessment of the earlier project, including the humanities disciplines involved, the number and type of participants, the involvement of scholars in the project, and what was learned from the past effort.

(2) **Purpose and Audience:** Explain what the project will accomplish and how it will advance understanding of the humanities for the participants as well as for other citizens of the state. Explain why the project is appropriate for the intended audience. It is expected that the project will have long-term effects and will be continued after Exemplary Award funding has ceased. Describe any tangible products that will result from the project. In addition to identifying the potential audience(s), explain how representatives of the audience(s) have participated in the planning of the project. Include a publicity and dissemination plan.

(3) Activities, Work Plan, and Format: The workplan should be realistic and feasible. Describe the kinds of activities that will be central to the project and how they will be implemented. Include a timetable for project activities. If the project involves more than one state, describe how the applicant state council will administer the overall project and, if applicable, what responsibilities will be delegated to the participating states.

- \* If the project includes the awarding of regrant funds, outline the funding guidelines and the proposed regrant review process, including the criteria to be used for awarding regrants and any council experience that helped to establish those criteria.
- \* If the council plans to issue a request for proposals, a draft version should be included.
- \* If the project involves a conference, outline the qualifications of scholars and speakers and include their letters of commitment.
- \* If the project includes an interpretive exhibition, explain the overarching themes and describe how the materials to be used will be selected, displayed, and interpreted. Include sample texts and information on the proposed exhibition design.
- \* Proposals for projects that involve media, such as slide-tape or audiotape programs, should contain a brief treatment or script that illustrates the intellectual approach to be taken.

(4) Project Personnel and Resources: Describe the material and human resources that qualify the council to undertake the project. Identify the key personnel involved, including humanities scholars and other resource personnel. Explain how their experience qualifies them for the project and describe their duties. Appropriate letters of commitment and resumes should be included in the supporting materials. Resumes should not exceed two pages in length. If a council decides to submit or be part of more than one proposal, it must demonstrate that it has the available resources, in terms of personnel and supporting institutions, to do so.

(5) Evaluation: A plan for assessing the outcome of the project is required. Indicate both the mechanism and criteria by which the project will be evaluated. Identify the outside evaluator, providing an account of how the person's qualifications are

suited to the task and exactly what that person will be required to do. Give an explicit outline of the questions to be asked and how their answers will be assessed.

## B. Planning Grants

(1) The same benchmarks used for assessing full-scale projects also apply to planning grant applications. The central humanities themes and ideas must be compelling and clearly defined, the envisioned purpose of the planning activities should grow out of a well-defined need, and the intended audience should be clearly identified. The project to be planned should be related to the council's overall program. Enough preliminary work should have been done to indicate the directions and goals of the project.

(2) Personnel: The application should list the people who will be involved in planning the project and their qualifications. It is expected that representatives of the intended project audience(s) will be included in this stage of the overall process. Commitments from humanities scholars and other resource persons who will serve on advisory committees or in other capacities should be included in the application. If firm commitments have not yet been obtained, the application should describe the qualifications and background individuals must have in order to be included in the planning project.

(3) Work Plan and Evaluation: The activities of the planning phase should be described in detail, including, for example, preliminary agendas and participants for planning meetings, and how resources at collaborating institutions would be coordinated with the project. Applicants should describe the work that has taken place prior to the planning phase in order to establish the direction of the project. The intended results or accomplishments of the project's planning phase should also be clear. The proposal should also indicate how the results of the planning activities will be evaluated.

## III. Budget

Provide a detailed budget and narrative explaining the project costs. Be sure that costs for the project are justified in terms of the planned goals and activities. The council should indicate how the cost-sharing requirement will be met on these awards. Describe the fund-raising plan envisioned for providing ongoing support. Note that staff salaries or other

expenses that are charged to federal funds in the council's regular operating grant cannot be used as cost share in an Exemplary Award budget.

#### **IV. Proposal Length and Number of Copies**

The proposal narrative must be limited to no more than **twenty double-spaced pages**, although appropriate attachments may be submitted.

**Fifteen copies** of the application should be submitted to the Division of State Programs **no later than October 9 (1992), October 8 (1993) or October 7 (1994).**

#### **EVALUATION OF APPLICATIONS**

Each application to the Endowment is assessed by knowledgeable persons outside the agency who are asked for their judgments about the quality and significance of the proposed project. About 1,200 scholars, professionals in the humanities, and other experts serve on approximately 225 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. In some programs the judgment of the panelists is supplemented by individual reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the application under review.

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

Applications are evaluated on the basis of the document submitted, not on the biennial or triennial proposal, interim progress report, or other documents that provide an assessment of a council's overall program.

#### **GENERAL FACTS ABOUT PREPARING THE PROPOSAL**

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also invites comments on the paperwork burden. NEH estimates the average time to complete this application is 40 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 Office of 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 (3136-0114), Washington, D.C. 20503.

#### **EEO STATEMENT**

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

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

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

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

S92-1

# National Endowment for the Humanities

## Washington, D.C.

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The following pages include: \_

- The Application Cover Sheet
- Field of Project Categories and Codes

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

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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.**

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

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

**1. Council Chairperson****a. Name and mailing address**Name \_\_\_\_\_  
(last) (first) (initial)

Address \_\_\_\_\_

(city) (state) (zip code)

**b. Form of address:** ☐**c. Telephone number**Office: \_\_\_\_\_ / \_\_\_\_\_ Home: \_\_\_\_\_ / \_\_\_\_\_  
(area code) (area code)**d. Major field of applicant**  
or project director not applicable ☐ (code)**e. Citizenship** ☐ U.S.  
☐ Other \_\_\_\_\_ (specify)**2. Type of applicant**

- a. ☐ by an individual b. ☒ through an org./institution  
If a, indicate an institutional affiliation, if applicable, on line 11a  
If b, complete block 11 below and indicate here:  
c. Type  
d. Status

**3. Type of application**

- a.
- ☒
- new b.
- ☐
- supplement

**4. Program to which application is being made**Division of State Programs ☐Endowment Initiatives: \_\_\_\_\_  
(code)**5. Requested grant period**From: \_\_\_\_\_ To: \_\_\_\_\_  
(month year) (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 and mailing address of executive director:**

(last) (first) (initial)

(city) (state) (zip code)

Telephone: \_\_\_\_\_ / \_\_\_\_\_ Form of address ☐  
(area code)**12. Certification**

By signing and submitting this application, the chairperson is providing the applicable certifications regarding the nondiscrimination statutes and implementing regulations, federal debt status, debarment and suspension, a drug-free workplace, and lobbying activities, as set forth in the appendix to these guidelines.

(signature of council chairperson)

(date)

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

**For NEH use only**Date received  
Application #  
Initials



## Field of Project Categories and Codes

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

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### *Anthropology L1*

Archaeology U6

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### *Archival Management/Conservation I1*

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### *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

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### *Communications P2*

Composition & Rhetoric P1

Journalism P4

Media P3

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### *Education H1*

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### *Ethnic Studies K1*

Asian American K5

Black/Afro-American K4

Hispanic American K3

Jewish K6

Native American K2

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### *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

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### *Humanities U8*

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### *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

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### *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

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### *Museum Studies/Historic Preservation I2*

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### *Philosophy B1*

Aesthetics B2

Epistemology B3

Ethics B4

History of Philosophy B5

Logic B6

Metaphysics B7

Non-Western Philosophy B8

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### *Religion E1*

Comparative Religion E5

History of Religion E2

Non-Western Religion E4

Philosophy of Religion E3

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### *Social Science U2*

American Government F2

Economics N1

Geography U7

International Relations F3

Political Science F1

Psychology U5

Public Administration F4

Sociology S1

National Endowment for the Humanities  
**BUDGET INSTRUCTIONS**

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

### Requested Grant Period

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

### Project Costs

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

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

### 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.

## SAMPLE BUDGET COMPUTATIONS

					NEH Funds (a)	Cost Sharing (b)	Total (c)
<b>Salaries and Wages</b>							
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
<b>Fringe Benefits</b>							
11 % of \$36,250					2,503	1,485	3,988
8 % of \$ 3,500					280		280
<b>Travel</b>							
	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
<b>Consultant Fees</b>							
Serbo-Croatian Specialist		5	\$100		500		500
<b>Services</b>							
Long Distance Telephone		est. 40 toll calls @ \$3.00			120		120
Conference Brochure		50 copies @ \$3.50/copy			175		175
<b>TOTAL DIRECT COSTS</b>					<b>\$31,808</b>	<b>\$14,985</b>	<b>\$46,793</b>
<b>Indirect Costs</b>							
20% of \$46,793					\$ 6,362	\$ 2,997	\$ 9,359
<b>TOTAL PROJECT COSTS (Direct and Indirect)</b>					<b>\$38,170</b>	<b>\$17,982</b>	<b>\$56,152</b>

## National Endowment for the Humanities

OMB No. 3136-0114

Expires: 7/31/95

**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			\$ _____	\$ _____	\$ _____



## 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. Total Project Costs 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.

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

**PROJECT FUNDING FOR ENTIRE GRANT PERIOD**Requested from NEH:<sup>1</sup>Cost Sharing:<sup>2</sup>

Outright	\$ _____	Cash Contributions	\$ _____
Federal Matching	\$ _____	In-Kind Contributions	\$ _____
		Project Income	\$ _____
<b>TOTAL NEH FUNDING</b>	<b>\$ _____</b>	<b>TOTAL COST SHARING</b>	<b>\$ _____</b>

Total Project Funding (NEH Funds + Cost Sharing)<sup>3</sup> = \$ \_\_\_\_\_

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

<sup>2</sup>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.

<sup>3</sup>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: \_\_\_\_\_

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## Appendix

### Instructions for the Certifications

#### General Requirements

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

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

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

The applicant shall provide immediate written notice to the director of the NEH Grants Office if at any time the applicant learns that its certifications

were erroneous when submitted or have become erroneous by reason of changed circumstances.

#### Nondiscrimination Statutes

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

#### 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 substan-



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

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

### **Drug-Free Workplace**

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

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

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

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

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

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

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

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

### **Lobbying Activities**

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

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

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

## Certifications

### 1. Certification Regarding the Nondiscrimination Statutes and their 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)

#### Alternate I. (Applies to Grantees Other Than Individuals)

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

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

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

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

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

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers

of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

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

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

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

**Alternate II. (Applies to Grantees Who Are Individuals)**

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

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

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

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

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

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

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

# DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB  
0348-0046

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

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____		
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>   Congressional District, if known: _____			
<b>6. Federal Department/Agency:</b>  _____	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____			
<b>8. Federal Action Number, if known:</b>  _____	<b>9. Award Amount, if known:</b> \$ _____			
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none; vertical-align: top;"> <b>10. a. Name and Address of Lobbying Entity</b>            (if individual, last name, first name, MI):             _____         </td> <td style="width: 50%; border: none; vertical-align: top;"> <b>b. Individuals Performing Services (including address if different from No. 10a)</b>            (last name, first name, MI):             _____         </td> </tr> </table> <p style="text-align: center; font-size: small;">(attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>			<b>10. a. Name and Address of Lobbying Entity</b> (if individual, last name, first name, MI):  _____	<b>b. Individuals Performing Services (including address if different from No. 10a)</b> (last name, first name, MI):  _____
<b>10. a. Name and Address of Lobbying Entity</b> (if individual, last name, first name, MI):  _____	<b>b. Individuals Performing Services (including address if different from No. 10a)</b> (last name, first name, MI):  _____			
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	<b>13. Type of Payment (check all that apply):</b> <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____			
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____				
<b>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:</b>        <p style="text-align: center; font-size: small;">(attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>				
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No				
<b>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.</b>	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____			
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form - LLL		

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the "full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

**DISCLOSURE OF LOBBYING ACTIVITIES**  
**CONTINUATION SHEET**

Approved by OMB  
0348-0046

Reporting Entity: \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_