

Humanities Guåhan
APPLICATION PREVIEW
GRANT APPLICATION & INSTRUCTIONS
2023

Updated August 12, 2023

Hafa adai!

Thank you for your interest in Humanities Guåhan's Community Grant Program! The application instructions and forms below have been updated.

Please take note of these important updates:

- Those eligible to apply include Guam nonprofit organizations and institutions with a UEI number
- Ad-hoc groups and individuals are not eligible
- Applicants may apply for up to \$15,000 in grant funding
- Humanities Guåhan will no longer be using the Submittable online platform

Applications and related forms and materials will only be accepted by email. Please send application materials to lreynolds@humanitiesguahan.org. The application deadline is September 30, 2023, 5:00 pm ChST. First-time applicants are required to attend the grant writing workshop on Saturday, August 26, 2023, 9:00 am – 12:00 pm at Humanities Guåhan.

We look forward to learning about innovative humanities-based projects that will engage our community on important social, historical and cultural issues affecting Guam and the region.

All who are interested are strongly encouraged to contact Grant Manager Leslie Reynolds at Humanities Guåhan prior to applying for a grant, at 472-4462 or lreynolds@humanitiesguahan.org. Humanities Guåhan's business hours are 9 a.m. – 5 p.m. Tuesday – Saturday.



Humanities Guåhan

222 Chalan Santo Papa, Reflection Center, Suite 106, Hagåtña, GU 96910

T. 671 472 4460/1 | F. 671 472 4465 | E. info@humanitiesguahan.org | www.humanitiesguahan.org

Please use the instructions below to complete the following forms/items in your Humanities Guáhan (HG) Community Grant application.

Grant Application: Overview

Applicant Information Overview

1. **Type of Grant.** Check as requested.
2. **Type of Applicant.** Check as requested. Only organizations and institutions may apply for HG Grants—no proposals by individuals will be accepted. See *Grant Guidelines*.
3. **Project Title.** The title should be brief, informative and suited to publicity efforts.
4. **Applicant Organization/Name & Title of Authorizing Official.** Complete as requested.
5. **Proposal Funding.** Summarize the proposed budget for the project, including amount requested from HG, Cost-Share, and Challenge Funding Cost-Share (if applicable).
6. **UEI#/SAM REGISTRATION#/EIN #.** Complete as requested. Organizations/institutions without a UEI# will need to obtain one by the award date. The EIN# is an organization's Employer Identification Number, also known as the Federal Tax Identification Number. SAM Registration is recommended but not required. See *Grant Guidelines*.
7. and 8. **Project Director/Fiscal Agent.** Complete as requested. The Project Director and Fiscal Agent may *NOT* be the same person.
9. **Proposed Grant Period.** The beginning and ending dates of a grant period should cover all phases of a project, from early publicity to the final expenditures and evaluations. The beginning date should be the first of the month, the ending date, the last day. **A grant period may not exceed 12 months. The grant period for all projects must conclude by October 31, 2024.** All project expenditures must take place within the grant period; cost-share or HG funds cannot be obligated prior to the grant period.
10. and 11. **Program Location(s), Date(s) and Time(s).** List the location(s), date(s) and time(s) where and when the program or project activities will take place. An exhibit appearing at only one site or a conference that lasts for more than one day should be treated as one event. **Note:** Events should be held at a time when the working public may attend, with exceptions made for projects aimed at specific target audiences, such as K-12 teacher workshops.
12. **Estimated number of persons served by project.** Include audience and other project participants.
13. **Target Audience.** Describe the audiences or groups who will benefit from your project. See *Grant Guidelines* for additional discussion of the audiences for programs funded by HG.
14. **Other Funding.** Complete as requested.
15. **Summarize the proposed project in the space provided.**

Project Summary

Complete the **Project Summary** (Questions A-F) as explained on the application form. Be concise and limit your answers to the space provided.

Project Narrative

In addition to the project summary, a formal **PROJECT NARRATIVE** explaining the project in more detail must be attached to the application. This narrative must be **5-8 double-spaced pages** that address the following areas in the order presented:

1. **Organization Overview:** Provide a brief overview of the applicant organization. How long has the group been in existence? What is its mission, staffing, budget? If the applicant is a department or activity of a larger organization, please focus your comments appropriately.
2. **Need:** Why is this project needed? Why should the public want or need to know more about your project?
3. **Goals and Objectives:** Describe the project in specific, measurable objectives. If the proposed project is part of a larger project or program, please describe the goals of that larger project as well. What topics, issues, or themes will be addressed? What do you intend to achieve with this project? What long-term benefits might accrue to your institution and to the public through this project?
4. **Activities:** List the format, dates, locations, event sites or facilities where the projects events or activities will be held. Provide an agenda or other overview of project activities. If you are seeking funding for a portion of a larger program, indicate which specific components are targeted for HG funds. Explain what format you will

be using and justify why you have chosen this format. Provide a timeline for planning, promotion and implementation. If the proposal includes an exhibit, please include information on design, fabrication and interpretive content.

5. **Humanities Content:** How do you define this as a humanities program or project? Explain which specific humanities disciplines are central to the project. Describe what analysis, interpretation, or discussion of issues will take place.
6. **Audience:** What audience do you expect the project to serve? Describe how you will involve the audience in the planning, implementation, and evaluation of the project.
7. **Publicity.** Summarize your plans for publicizing and promoting your project. What efforts will you make to reach your target audience(s)?
8. **Evaluation:** At the project's close, project directors are required to submit to HG an evaluation of the project's strengths and weaknesses, and to address whether the project met the goals as originally defined. Indicate evaluation procedures, the evaluation instrument and criteria to be used, including the work of any outside evaluator. HG also wants to know audience numbers and composition. Describe any opportunity that the target audience will have to comment upon the project.
9. **Personnel:** List all persons involved in the planning and implementation of the project. In one-paragraph biographical sketches, briefly describe their qualifications (academic degrees, discipline, current employment) and their role in the project (consultant, speaker, etc.). All qualified humanities scholars must complete the "Form for Humanities Scholars," and forms must be submitted with the application/grant proposal. No other statements or vitae from scholars are required, although they may be attached to the application if necessary to highlight the scholars' qualifications/experience. Other persons involved in the program who are not humanities scholars should not complete the form, although their role and qualifications should be described briefly in this section.

Forms for Humanities Scholars and Traditional Teachers

Applicants must submit forms completed by their participating humanities experts with the application/proposal. Participating scholars should hold an advanced degree in a humanities discipline or have demonstrated expertise in a humanities discipline related to the project. Traditional Teachers should be recognized as having extensive life experience in an area of the humanities. See *Grant Guidelines* for more information.

The forms for Humanities Scholars and Traditional Teachers are available to download on the community grant page of the Humanities Guåhan website: <https://www.humanitiesguahan.org/programs/community-grants>

Budget Summary and Budget Narrative

Complete the **Budget Summary** form as requested, accounting for how HG funds and other cost-share items will be used. A detailed **BUDGET NARRATIVE** showing the basis for the calculations and justification for proposed budget items must be attached to the application.

Project applicants must provide at least half of the total cost of any project. The applicant organization may contribute either cash or in-kind services and goods, such as the time of volunteers, the time of employees assigned to the project, and use of meeting space to meet this cost-share requirement. Indirect costs (overhead) may not be paid out of HG funds. HG cannot provide financial support for:

- Food (except as travel expenses) or entertainment
- Purchase of permanent equipment or property (although necessary equipment may be leased)

Budget Categories

1. **Personnel:** Expenditures for salaried personnel (e.g., project director, support staff and others involved in the administration and management of the project). **The bulk of HG funds should go to project activities**, keeping administrative costs to a minimum. With the exception of FICA (Social Security tax), personnel benefits such as pension and medical coverage cannot be paid from HG funds.
2. **Honoraria:** Honoraria for scholars' research and content contributions, speakers, panelists, consultants, evaluators, and others, which may include in-kind contributions by other project advisors.

3. **Travel and Per Diem (lodging, M&IE):** Travel in connection with project activities is reimbursable for privately owned vehicles and at economy rates for airfare. Travel per diem expenses (i.e. lodging & meals and incidentals) are also reimbursable, using current federal rates and restrictions.
4. **Supplies:** Cost of office or other supplies necessary for the project.
5. **Printing/copying, postage, and advertising:** Costs for activities involved in promotion of the project.
6. **Telephone:** Telephone costs are often used as cost sharing, but HG funds may be requested.
7. **Equipment/office/facilities space and rental:** Rental of program venue, office or studio space, meeting rooms, equipment, and films/videotapes. **Equipment purchases are not allowed using HG funds unless necessary for the project. Such equipment purchases will become the property of HG at the end of the project.**
8. **Other:** This category may include costs related to contractual services, publications, exhibit fabrication, and exhibit transportation. Please specify these costs in the budget narrative.

Form & Letters of Commitment or Support

Letters of Commitment or Letters of Support are not required, but are highly recommended. These letters indicate that there is public interest in the project beyond that of the applicant. Any letters submitted with an application should be substantive, commenting on the project's potential impact, as well as its value to the target audience(s). See *Grant Guidelines* for more information.

General Grant Provisions Agreement Form

Please have the appropriate officials sign and date the application.

Certifications Form

Please have the appropriate officials sign and date the application.

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PROJECT SUMMARY

Give a brief overview of the project. Please limit your responses to the space provided. As specified in the "Grant Application Instructions," a **Project Narrative (5–8 double-spaced pages)** must be attached, and should describe further details of the proposed project activities. If this proposal includes an exhibit, your project narrative must include information on design, fabrication and interpretive content.

A. Project Objectives (List what you expect the achievements of the project to be.)

B. Humanities Content of the project (Why is this a humanities project? How will the humanities disciplines and scholars involved illuminate the issues being considered?)

C. Humanities Experts (Project MUST have one HUMANITIES SCHOLAR. List the principal humanities experts—scholars and teachers—that will be involved in the project. All experts must complete the appropriate forms.)

<u>Name</u>	<u>Humanities Discipline</u>	<u>Role in Project</u>
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For Office Use Only:

Proposal # _____

PROJECT SUMMARY
(Continued)

D. Describe the participation of humanities experts in the *planning* of the project.

E. Identify the audience served by the project and how you determined this is a project they desire.

F. Describe the evaluation plan for assessing how well the project achieved its objectives. List the names of those responsible for compiling and discussing evaluation data.

FORM FOR HUMANITIES SCHOLARS

For people with advanced academic degrees (M.A. or Ph.D.) in the humanities

SCHOLARS: Please assist the applicant by completing this form thoroughly. Do not simply attach a vitae. This form is meant to take the place of a lengthy vitae and other attachments. Continue answers on another sheet if necessary. Please type your responses, and return the form as soon as possible to the applicant.

Name: _____ Title: _____

Institution of employment (if any): _____

Academic Degrees, Institutions, Fields of Study: _____

Mailing Address: _____

_____ Phone: _____ Fax: _____ E-mail: _____

I, the undersigned, have agreed to participate in this project. I have a complete understanding of the project goals and objectives and will contribute to the development and/or dissemination of project content, and ensure a humanities focus is central to the project. My role in the project is described below.

Signature _____ Date _____

Scholarship and Professional Experience: List academic training, teaching experience, research activities and publications relevant to this project (this must include an advanced degree in a humanities discipline). If appropriate, include experience with non-academic audiences.

Role in the Project: What will be your role in the project (planner, consultant, lecturer, panelist, commentator, moderator, discussion leader, etc.)? How do you believe your role and experience will contribute to the overall program?

Approach to the Subject: What approach or approaches will you take in addressing the subject (historical, literary, philosophical, etc.)? What are some of the major points you will make? What issues will you address? Give specific examples.

FORM FOR TRADITIONAL TEACHERS*For people who have extensive life experience in an area of the humanities*

TRADITIONAL TEACHERS: Please assist the applicant by completing this form thoroughly. Do not simply attach a vitae. This form is meant to take the place of a lengthy vitae and other attachments. Continue answers on another sheet if necessary. Please type your responses, and return the form as soon as possible to the applicant.

Name: _____ Title: _____

Institution of employment (if any): _____

Fields of Study: _____

Mailing Address: _____

_____ Phone: _____ Fax: _____ E-mail: _____

I, the undersigned, have agreed to participate in this project. I have a complete understanding of the project goals and objectives and will contribute to the development and/or dissemination of project content, and ensure a humanities focus is central to the project. My role in the project is described below.

Signature _____ Date _____

Experience: List education (both formal and traditional, if appropriate), experience, and research activities relevant to this project.

Role in the Project: What will be your role in the project (planner, consultant, lecturer, panelist, commentator, moderator, discussion leader, etc.)? How do you believe your role and experience will contribute to the overall program?

Approach to the Subject: What approach or approaches will you take in addressing the subject (historical, literary, philosophical, etc.)? What are some of the major points you will make? What issues will you address? Give specific examples.

BUDGET SUMMARY

This form serves only as a summary sheet for totals in each category. As specified in the "Grant Application Instructions," a detailed **Budget Narrative** showing the basis for the calculations must be attached to this application as well.

INCOME**1. Cost-Share**

- a. **Challenge Funding** (cash from non-federal/non-applicant sources) \$ _____
- b. **Cash from Applicant** \$ _____
- c. **Cash from Other Sources** (list donors in Budget Narrative) \$ _____
- d. **In-Kind** (list donors in Budget Narrative) \$ _____
- e. **Total Cost-Share** \$ _____
2. Amount requested from **Humanities Guåhan** \$ _____
3. **TOTAL** (must equal Total Expenses shown below) \$ _____

EXPENSES

Budget Item	1. Cost-Share				2. HG Request	3. TOTAL
	a. Challenge Funding	b. Cash-Applicant	c. Cash-Other	d. In-kind		
1. Personnel a. Salaries/Wages						
b. Honoraria						
2. Travel						
3. Per Diem (Lodging, M&IE)						
4. Meals					Unallowable Costs	
5. Supplies						
6. Printing/Copying						
7. Postage						
8. Advertising						
9. Telephone						
10. Equipment Rental						
11. Facilities Rental						
12. Other						
TOTAL						

For Office Use Only

Proposal # _____

LETTERS OF COMMITMENT OR SUPPORT

Letters of Commitment or Letters of Support are not required, but are highly recommended. These letters indicate that there is public interest in the project beyond that of the applicant. Please list the letters you have received below, and attach any letters to this application. See *Grant Guidelines* for more information.

Name	Organization	Letter Type (Commitment/Support)
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____ As Project Director,
my initials indicate that I
have read and understand
the general grant provisions
outlined on this page.

GENERAL GRANT PROVISIONS Agreement Form

The following provisions, in addition to any special conditions incorporated in the Grant Agreement, are legally binding upon the Grant Awardee's first request of grant funds from Humanities Guåhan (hereinafter also referred to as "HG" or "the Council"). In the event of a conflict between these provisions and any special conditions of the Grant Agreement, the terms of the Grant Agreement govern.

A. Nonprofit Status

The grantee stipulates that it is an ad hoc group or a nonprofit organization and that the project submitted to HG makes no provision for profit.

B. Civil Rights, Nondiscrimination, Debarment and Suspension

Grants must meet the requirements of the Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, the Age Discrimination Act of 1975 (45 CFR 1169) regarding debarment and suspension, and the regulations published by the National Endowment for the Humanities pursuant to these statutes.

1. Title VI provides that "No person in the United States shall, on the basis 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 receiving federal assistance." (Section 601)
2. Section 504 of the Rehabilitation Act provides that "No otherwise qualified handicapped individual in the United States as defined in Section 7(6), shall, solely by the reason of his handicap, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal assistance."
3. Title IX of the Education Amendments of 1972 provides that no person shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program receiving federal financial assistance.
4. The Age Discrimination Act of 1975 prohibits discrimination on the basis of age in the programs receiving federal financial assistance, except those 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, or differentiations made which are based upon reasonable factors other than age, shall not violate this statute.
5. The grantee certifies to the best of its knowledge and belief that it and its principals:
 - a. Are not delinquent in the repayment of any federal debt and 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 grant, been convicted of or had a civil judgment rendered against them for 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 government 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 grant, had one or more public transactions (federal, state or local) terminated for cause or default.

C. Cost Principles

Allowable costs shall be determined in accordance with principles set forth in these provisions and HG budget guidelines, as well as OMB A-122, A-133, and the National Endowment for the Humanities Document (available on request).

Actual travel expenses, including mileage rates, lodging and per diem, will be allowable, subject to current HG policies.

No granted federal funds will be used to pay for entertainment, social activities, or indirect costs—commonly referred to as "overhead." No matching funds listed in the budget may come from the National Endowment for the Humanities.

Any cost reimbursed by HG, which is subsequently found to be disallowable under audit shall be refunded to HG.

D. Limitations on the Use of Grant Funds

Grant funds may be expended only for project purposes set forth in the proposal and budget as originally approved or subsequently amended. Proposed amendments must be submitted in writing for approval by HG. Changes requiring such action include:

1. changes in project scope, purposes or activities;
2. changes in key personnel, including the project director, humanities scholars or principal speakers;
3. changes in duration of the grant period. The grant period may be extended with HG's approval, provided changes are requested in writing at least 30 days prior to the end of the grant period;
4. changes that would decrease the cost-sharing or matching contribution toward the project cost;
5. changes in the approved project budget.

E. Limitations

Grant funds must be obligated during the "grant period," which is the period specified in the grant award and/or amended letter during which project costs may be charged against the grant. Obligations outstanding at the end of the grant period shall be liquidated within 60 days thereafter. Funds remaining uncommitted at the end of the grant period must be returned with the final financial report. Make checks payable to Humanities Guåhan.

All reusable supplies and equipment purchased with HG funds shall be returned to HG at the end of the project. HG reserves the right to determine what is and is not reusable.

F. Cash Requests

Requests for payment must be submitted on appropriate HG forms. Payments may be requested at any time; however, the grantee agrees that requests are not in excess of reasonable anticipated needs. In no event may an advance payment be requested exceeding that which is necessary for a three-month period. At HG's discretion, the final 10% of the grant award may be withheld until receipt of the final fiscal and project director's closeout report.

Continued on the next page

____ As Project Director, my initials indicate that I have read and understand the general grant provisions outlined on this page.

GENERAL GRANT PROVISIONS Agreement Form

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G. Grant Accounting and Reporting

The grantee agrees to provide such fiscal control as is necessary to assure proper disbursing of, and accounting for, project and grant funds. The grantee certifies that accounts and supporting documentation will be adequate to permit an accurate and expeditious audit. The grantee will maintain project records and accounts for no less than three years after the submission of the final financial report.

The grantee agrees to maintain records to demonstrate that the total cost-share is not less than indicated, and that the value of in-kind contributions is consistent with accepted market rates.

The grantee is required to submit, within 90 days of the end of the grant period:

1. a final financial report, including a complete statement of income and expenses, and a complete accounting of cost-share contributions; and
2. a project director's report, which shall include—at a minimum—a completed evaluation form furnished by HG. Additional descriptive material is welcome.

H. Interest Income

If grant funds from Humanities Guåhan are deposited in an interest-bearing account, the grantee may keep the first \$250.00 in interest earned in each fiscal year. Interest in excess of this amount on funds awarded by HG shall be sent to HG for return to the National Endowment for the Humanities.

I. Project Income

Income received by the grantee as a result of the grant project (i.e., sale of publications, registration fees, interest on grant funds, etc.) must be accounted for and reported to HG. Such income is to be used to further the purposes of the project and offset costs to be charged against the grant. If the income is earned after the grant period (sale of publications, reuse of films, etc.), it is to be paid by the grantee to HG up to the amount of the grant, or in accordance with specific arrangements. Registration fees are discouraged and in no case are to be charged without HG approval.

J. Publication

Results of the project may be published, providing publications include a statement that the findings do not necessarily represent the views of Humanities Guåhan or the National Endowment of the Humanities. At least three (3) copies of any printed publication must be furnished to HG.

In the case of media projects, three (3) copies of each audio or video CD/DVD must be sent to HG; Grantees working in film are required to submit to HG three (3) copies of the film, in DVD format, unless other arrangements are made with HG.

K. Acknowledgement

In all publicity and printed matter the grantee must specify that the program is funded, supported or made possible by a grant from Humanities Guåhan. The name of Humanities Guåhan and its logo must appear in a conspicuous location and be large enough to be easily legible.

L. Copyright

The US government and HG reserve the nonexclusive license to use and reproduce for noncommercial purposes, without payment, any publishable matter, included copyrighted matter, arising out of a grant.

M. Use of Information

Surveys or interviews conducted by the grantee may not be represented as being collected by or for HG or a federal agency without prior approval of HG.

N. Insurance

HG undertakes no responsibility for members of grantee's staff, full or part-time; consultants, instructors, or others hired on an honorarium basis; audience members; premises or property occupied; or any other person or property involved in the grant. Grantee undertakes to assure necessary provision for appropriate insurance coverage. Where event coverage exists, grantee will attempt to have it extended to cover HG as well as for appropriate times.

O. Suspension and Termination of Grants

Humanities Guåhan may suspend or terminate an award for cause, primarily failure to comply with the terms and conditions of the award agreement. Normally, termination action will be taken only after the grantee has been notified of the deficiency and given sufficient time to correct it (a suspension), but this does not preclude immediate termination when such action is required to protect the interests of HG. In the event that corrective action is not taken within 60 days of the date of notification of suspension, HG may issue a notice of termination. No costs incurred during the suspension period or after the effective date of termination will be allowable except those specifically authorized. Within 45 days of termination, an itemized account of funds expended, obligated and remaining under the grant must be submitted to HG. The applicant organization will remit to HG any funds found due or disallowed.

A grantee who has received a notice of termination may request that HG review the termination action. The request must be in writing, postmarked no later than 30 days after the notice of termination, and should be addressed to **Humanities Guåhan, 222 Chalan Santo Papa, Reflection Center Suite 106, Hagåtña, GU 96910.**

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**GENERAL GRANT PROVISIONS
Agreement Form**

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AGREEMENT: It is understood and agreed that any funds granted as a result of this request are to be used for the purposes set forth herein. The undersigned assure Humanities Guåhan that the conduct of the project will be in compliance with the grant provisions and policies set forth by Humanities Guåhan in affiliation with the National Endowment for the Humanities. The applicant certifies that it is a nonprofit organization and assures Humanities Guåhan that this project will be conducted in compliance with Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, and the Americans with Disabilities Act of 1990.

STATEMENT OF CERTIFICATION: The applicant institution or organization hereby 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 the submittal of this grant application 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 statement, 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 the *General Grant Provisions* concerning Civil Rights, Nondiscrimination and Debarment; and d) have not within a three-year period preceding the submittal of this grant application had one or more public transactions (federal, state or local) terminated for cause or default.

SIGNATURES:

Authorizing Official of Applicant Organization:

Signature Date

Printed Name and Title

Project Director:

Signature Date

Printed Name and Title

Fiscal Agent:

Signature Date

Printed Name and Title

_____ As Project Director, my initials indicate that I have read and understand the instructions for certification outlined on this page.

CERTIFICATIONS FORM INSTRUCTIONS

1. Humanities Guáhan (HG) is required to seek from applicants a certification regarding the non-discrimination statutes, a certification regarding debarment and suspension, and a certification regarding a drug-free workplace.
2. By signing and submitting the certifications form, the authorizing official of the applicant institution provides the applicable certifications. When a prospective applicant is unable to provide HG with certification regarding the nondiscrimination statutes, the prospective applicant is not eligible to apply for funding from HG. When the applicant is unable to provide certification regarding debarment and suspension, the applicant shall attach an explanation to the proposal. The explanation of why the certification on debarment and suspension cannot be submitted will be considered in connection with the HG funding determination. Failure to furnish a certification or an explanation shall disqualify such applicants from receiving an award from HG.
3. The certification regarding the nondiscrimination statutes shall obligate the applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with HG assistance, this certification shall obligate the applicant for the period during which it retains ownership or possession of that property. This certification is binding on the applicant, its successors, transferees, and assignees, and on the authorizing official whose signature appears on the certification form.
4. The certifications are material representations of fact on which reliance will be placed when HG determines to fund the application. If it is later determined that the applicant knowingly provided an erroneous certification, in addition to other remedies available to the federal government, the National Endowment for the Humanities (NEH) may pursue available remedies including suspension and/or debarment.
5. The applicant shall provide immediate written notice to HG if any time the applicant learns that its certifications were erroneous when submitted or have become erroneous by reason of changed circumstances.
6. The applicant agrees by submitting this proposal that, should the proposal be funded by HG, 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 National Endowment for the Humanities.
7. The applicant further agrees by submitting this proposal to include without modification the following clause in all lower tiered covered transactions and in all solicitations for lower tier covered transactions:
 - a. 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.
 - b. Where the prospective lower tier participant is unable to certify any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
8. A participant in a covered transaction may rely on the certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the list of "Parties Excluded from Non-procurement Programs."
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the required certification. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except when specifically authorized by the National Endowment for the Humanities, if a participant in a covered transaction 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 other remedies available to the federal government, the National Endowment of the Humanities may pursue available remedies, including suspension and/or debarment.
11. The definitions on the next page apply to the terms used in each of the certifications.

CERTIFICATIONS: DEFINITIONS

____ As Project Director,
initials indicate that I have
read and understand the
definitions of the terms as
outlined on this page.

Controlled Substance: A controlled substance in Schedules I through V of Section 202 of the Controlled Substance Act (21 U.S.C. 812) and as further defined by regulation at 21 CFR 1300.11-1300.15.

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."

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. If the debtor fails to pay the debt by the specified date, then the debt is delinquent and the "date of delinquency" is the date given as the payment due date for contractual agreements or the date the debt was mailed, as appropriate.

Grantee: (in the drug-free workplace certification) A person who applies for or receives a grant directly from a federal agency.

Ineligible: Excluded from participation in federal procurement 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-acquired 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 governmental entities, public international organizations, or foreign government-owned or controlled entities.

Primary Covered Transactions: This is normally any non-procurement 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 non-procurement transaction between a federal agency and a person.

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

Proposal: A solicited bid, application, request, invitation to consider, or similar communication by or on behalf of a person seeking to participate or to receive benefit, directly or indirectly in or under a covered transaction.

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.

CERTIFICATIONS

These certifications regarding nondiscrimination, debarment and suspension, and drug-free workplace requirements obligate the applicant for the period during which the award is given. These certifications are binding on the applicant, its successors, transferees, and assignees and on the authorizing official whose signature appears below.

1. Certification Regarding the Nondiscrimination Statutes

- 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. Title VII of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), which provides that employees and applicants for employment will not be discriminated on the basis of race, color or national origin, or sex;
- c. The Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance;
- d. Title IX of the Educational 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
- e. 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 those actions which reasonable 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 Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions (45 CFR 1169):

- a. The prospective lower tier participant (applicant) certifies, by submission of this application for a grant, 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.
- b. Where the prospective lower tier participant (applicant) is unable to certify to any of the statements in the certification, such prospective participant will attach an explanation to this application for a grant.

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

Alternate I.

- A. The grantee certifies that it will or will continue to provide a drug-free workplace by:
 - i. 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;
 - ii. 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.
 - iii. 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 (i);
 - iv. notifying the employee in the statement required by paragraph (i) 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;

CERTIFICATIONS

(continued from previous page)

- v. notifying the agency in writing within ten calendar days after receiving notice under subparagraph (iv)(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;
 - vi. taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (iv)(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;
 - vii. making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (i), (ii), (iii), (iv), (v) and (vi).
- 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.

By signing and submitting this certifications form, the authorizing official of the applicant organization provides the applicable certifications.

SIGNATURE:

Authorizing Official of Applicant Organization:

Signature

Date

Printed Name and Title