

Guam Humanities Council  
**GRANT APPLICATION INSTRUCTIONS**  
2012

These instructions are for completing the Guam Humanities Council grant application. Please consult the *Guam Humanities Council Grant Guidelines* before completing this form. Applications must be typed. Included in this packet are the Application Form, General Grant Provisions, Certification Instructions & Definitions, and forms for Humanities Scholars and/or Traditional Teachers. You may duplicate additional Humanities Scholar or Traditional Teacher forms as necessary. Wherever the phrase "Form for Humanities Scholars" appears, please also read "Form for Traditional Teachers," if appropriate to the project.

### **Application Form**

#### **Applicant Information Overview**

1. **Type of Grant.** Check as requested.
2. **Type of Applicant.** Only organizations may apply for GHC 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 Name/Organization.** Complete as requested.
5. **Proposal Funding.** Summarize the proposed budget for the project, including amount requested from GHC, Cost-Share, and Challenge funding.
6. **S.S. or EIN #/Non-Profit status.** Complete as requested.
7. and 8. **Project Director/Fiscal Agent.** Complete as requested. The Project Director and Fiscal Agent should 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.** All project expenditures must take place within the grant period; cost-share or GHC funds cannot be obligated prior to the grant period.
10. and 11. **Program Location, Date(s) and Time(s).** List the location, date(s) and time(s) of where 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. **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 GHC.
13. **Estimated number of persons served by project.** Include audience and other project participants.
14. **Other Funding.** Complete as requested.
15. **Summarize the project in 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.

In addition to this summary, a formal **NARRATIVE** explaining the project in more detail must be submitted along with 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 GHC funds. Explain what format you will be using and justify why you have chosen this format. Provide a timeline for planning, promotion and implementation.

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 values 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 GHC 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. GHC 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 Scholar," 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.

### **Form for Humanities Scholars and Traditional Teachers**

Applicants need to request these forms be completed by their humanities experts that will participate in the project. Completed forms must be submitted 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.

### **Budget**

Complete the summary sheet as requested, accounting for how GHC 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 submitted with the application.

Project sponsors must provide at least half of the total cost of any project. The sponsoring 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 GHC funds, and may not exceed 10% of the total budget. GHC cannot provide financial support for:

- Institutional staffing (e.g., salary payment for full-time employees of the sponsoring organization)
- 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 GHC 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 GHC funds.
2. **Honoraria:** Honoraria for speakers, panelists, consultants, evaluators, and others, including in-kind contributions by other project advisors. Although participants in lectures, conferences, seminars and related activities may receive higher honoraria, no more than \$400 per speaker per presentation may be paid with GHC funds.
3. **Travel and lodging:** Travel in connection with project activities is reimbursable for privately owned vehicles and at tourist/economy rates for airfare. Actual food and lodging expenses are also reimbursable, using current federal rates and restrictions.
4. **Supplies:** Cost of office or other supplies necessary for the project.
5. **Office/facilities space and rental:** Rental of office, studio space, meeting rooms, equipment, and films/videotapes. **Equipment purchases are not allowed using GHC funds unless necessary for the project. Such equipment purchases will become the property of GHC at the end of the project.**
6. **Telephone:** Telephone costs are often used as cost-sharing, but GHC funds may be requested.

7. **Printing/copying, postage, and advertising:** Costs for activities involved in promotion of the project.
8. **Other:** This category may include costs related to publications, exhibit fabrication, and exhibit transportation. Include any sponsoring organization administrative/fiscal agent fees in this section, if applicable.

**Agreement**

Please have the appropriate officials sign and date the application.

**MATERIALS THAT MUST ACCOMPANY THE APPLICATION**

The finished application/grant proposal should include these items in this order:

- Completed, signed application form
- Detailed Project Narrative
- Proposals for exhibits must include information on design, fabrication and interpretive content.
- Detailed Budget Narrative
- Humanities Experts forms
- Letters of Commitment or Support indicating that there is public interest in the project beyond that of the sponsor
- Other pertinent information

Proposals should be stapled in the top left-hand corner. Please do not place the proposal in special binders or folders. To keep paper usage to a minimum, duplicate on two sides where possible, and do not include resumes, vitae and other attachments unless absolutely necessary.

The **original** and **ten (10) copies** of the full proposal are required for the final deadline. Five copies are required for the preliminary deadline (regular and media grants only).



# Guam Humanities Council GRANT APPLICATION

For Office Use Only  
 Proposal #: \_\_\_\_\_  
 Received: \_\_\_\_\_

Please review "Guam Humanities Council Grant Guidelines" and the "Application Instructions" before completing this form. Completed applications can be mailed or delivered to **Program Officer, Guam Humanities Council, 222 Chalan Santo Papa, Reflection Center Suite 106, Hagåtña, GU 96932**. For more information, please call (671) 472-4460/1.

<b>1. TYPE of GRANT</b> Regular      Mini      Media <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			<b>2. TYPE of APPLICANT</b> Individual    Organization <input type="checkbox"/> <input type="checkbox"/>		
<b>3. PROJECT TITLE</b>					
<b>4. APPLICANT NAME/ORGANIZATION</b> (Authorizing Official) Name: _____ Title: _____ Address: _____ City: _____ State: _____ Zip: _____ Phone: _____ Fax: _____ Email: _____ Website: _____			<b>5. PROPOSAL FUNDING</b> GHC                    \$ _____ Cost Share            \$ _____ Challenge             \$ _____ TOTAL BUDGET \$ _____		
<b>7. PROJECT DIRECTOR</b> Name: _____ Position/Title: _____ Address: _____ City: _____ State: _____ Zip: _____ Phone: _____ Fax: _____ E-mail: _____			<b>6. S.S. or EIN #:</b>  <b>Non-Profit Status:</b> Public <input type="checkbox"/> Private <input type="checkbox"/>		
<b>8. FISCAL AGENT</b> (May not be project director): Name: _____ Position/Title: _____ Address: _____ City: _____ State: _____ Zip: _____ Phone: _____ Fax: _____ E-mail: _____					
<b>9. PROPOSED GRANT PERIOD</b> From: _____ to _____ Month/day/year                    Month/day/year			<b>10. PROGRAM LOCATION</b>		
<b>11. PROGRAM DATE(S) &amp; TIME (S)</b>		<b>12. TARGET AUDIENCE</b>	<b>13. Estimated number of persons served by this project</b>		
<b>14.</b> Will this proposal be submitted to a government agency or private entity for funding? (If yes, indicate where and when.)					
<b>15.</b> Summarize the proposed project (please do not exceed the space provided).					

Applicant Name: \_\_\_\_\_

Project Title: \_\_\_\_\_

For Office Use Only

Proposal # \_\_\_\_\_

### PROJECT SUMMARY

Give a brief overview of the project. Please limit your responses to the space provided. As specified in the "Application Instructions," the narrative attached to this application form should describe further details of the proposed project activities.

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

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**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?)

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

Applicant Name: \_\_\_\_\_

Project Title: \_\_\_\_\_

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Proposal # \_\_\_\_\_

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

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

Applicant Name: \_\_\_\_\_

Project Title: \_\_\_\_\_

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Proposal # \_\_\_\_\_

### 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 received a complete description of 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.

Applicant Name: \_\_\_\_\_

Project Title: \_\_\_\_\_

**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 received a complete description of 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.

Applicant Name: \_\_\_\_\_

Project Title: \_\_\_\_\_

For Office Use Only

Proposal # \_\_\_\_\_

### BUDGET

This form serves only as a summary sheet for totals in each category. A detailed budget narrative showing the basis for the calculations must be included as well.

#### INCOME

- 1. **Challenge funding** (cash from non-federal sources) \$ \_\_\_\_\_
- 2. **Cost-Share**
  - a. **Cash** from applicant (list donors in budget narrative) \$ \_\_\_\_\_
  - b. **In-Kind** (list donors in budget narrative) \$ \_\_\_\_\_
  - c. **Cash** from Other Sources (list donors in budget narrative) \$ \_\_\_\_\_
  - d. **Total Cost-Share** \$ \_\_\_\_\_
- 3. Amount requested from **Guam Humanities Council** \$ \_\_\_\_\_
- 4. **TOTAL** (must equal Total Expenses shown below) \$ \_\_\_\_\_

#### EXPENSES

Budget Item	1. Challenge	2. Cost-Share			3. GHC Request	4. TOTAL
		a. Cash-applicant	b. In-kind	c. Cash-other		
<b>1. Personnel</b>						
a. Salaries/Wages						
b. Honoraria						
<b>2. Travel</b>						
<b>3. Lodging</b>						
<b>4. Meals</b>						
<b>5. Supplies</b>						
<b>6. Printing/Copying</b>						
<b>7. Postage</b>						
<b>8. Telephone</b>						
<b>9. Equipment Rental</b>						
<b>10. Facilities Rental</b>						
<b>11. Advertising</b>						
<b>12. Other (specify)</b>						
<b>TOTAL</b>						

Applicant: \_\_\_\_\_

Project Title: \_\_\_\_\_

For Office Use Only

Proposal # \_\_\_\_\_

**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 the Guam Humanities Council that the conduct of the project will be in compliance with the grant provisions and policies set forth by the Guam Humanities Council in affiliation with the National Endowment for the Humanities. The sponsor certifies that it is a nonprofit organization and assures the Guam Humanities Council 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 Sponsoring Organization:

\_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
(Type name and title of above official)

Project Director:

\_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
(Type name and title of above official)

Fiscal Agent:

\_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
(Type name and title of above official)

My initials indicate that I have read and understand the general grant provisions outlined on this page.

## GENERAL GRANT PROVISIONS

**Successful grant applicants are required to sign a Grant Agreement that indicates their recognition of and compliance with these grant provisions.**

The following provisions, in addition to any special conditions incorporated in the Grant Agreement, are legally binding upon recipients of grants from the Guam Humanities 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 individual or a nonprofit organization and that the project submitted to the Council 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 GHC 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 substance, will be allowable, subject to current Council 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 the Council which is subsequently found to be disallowable under audit shall be refunded to the Council.

### 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 the Council. 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. Grant period may be extended with the Council'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.

### 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 the Guam Humanities Council.

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

### F. Cash Requests

Requests for payment must be submitted on appropriate GHC 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 the Council's discretion, the final 10% of the grant award may be withheld until receipt of the final fiscal and project evaluation reports.

*Continued on the next page*

# GENERAL GRANT PROVISIONS

(continued from previous page)

My initials indicate that I have read and understand the general grant provisions outlined on this page.

## 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 the Council. Additional descriptive material is welcome.

## H. Interest Income

If grant funds from the Guam Humanities Council 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 the Council shall be sent to the Council 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 the Council. 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 the Council up the amount of the grant, or in accordance with specific arrangements. Registration fees are discouraged and in no case are to be charged without Council 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 the Council or the National Endowment of the Humanities. At least twelve (12) copies of any printed publication must be furnished to the Council.

In the case of media projects, three (3) copies of each audio or video cassette or DVD/CD must be sent to the Council.

Grantees working in film are required to submit to the Council three (3) copies of the film, in DVD (or VHS format, if DVD is not available).

## 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 the Guam Humanities Council. The name of the Guam Humanities Council and its logo must appear in a conspicuous location and be large enough to be easily legible.

## L. Copyright

The US government and the Council 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 the Council or a federal agency without prior approval of the Council.

## N. Insurance

The Council 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 GHC as well as for appropriate times.

## O. Suspension and Termination of Grants

The Guam Humanities Council 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 the Council. In the event that corrective action is not taken within 60 days of the date of notification of suspension, GHC 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 the Council. The sponsoring organization will remit to the Council any funds found due or disallowed.

A grantee who has received a notice of termination may request that GHC 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 the **Guam Humanities Council, 222 Chalan Santo Papa, Reflection Center Suite 106, Hagåtña, GU 96910.**

My initials indicate that I have read and understand the general grant provisions outlined on this page.

## INSTRUCTIONS FOR CERTIFICATION

1. The Guam Humanities Council (GHC) is required to seek from applicants a certification regarding the non-discrimination statutes and a certification regarding debarment and suspension.
2. By signing and submitting the certification form, the authorizing official of the applicant institution provides the applicable certifications. When a prospective applicant is unable to provide GHC with certification regarding the nondiscrimination statutes, the prospective applicant is not eligible to apply for funding from GHC. 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 GHC funding determination. Failure to furnish a certification or an explanation shall disqualify such applicants from receiving an award from GHC.
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 GHC 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 GHC 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 GHC 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 GHC, 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 Nonprocurement 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

This certification regarding nondiscrimination obligates the applicant for the period during which the award is given. This certification is binding on the applicant, its successors, transferees, and assignees and on the authorizing official whose signature appears on the applicant coversheet.

### **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;
  - 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.

Applicant Name//Organization: \_\_\_\_\_

Applicant's Authorizing Official/Title: \_\_\_\_\_

Date: \_\_\_\_\_

## DEFINITIONS

\_\_\_\_ My 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 debaring 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 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.