

Major Grant Guidelines & Application

Providing financial support for nonprofit organizations across South Carolina

to conceive and implement quality public humanities programs

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**South Carolina Humanities Mission**

SC Humanities seeks to enrich the cultural and intellectual lives of all South Carolinians by providing high-quality programs that enrich minds and broaden perspectives, foster positive human relationships, encourage good citizenship and bring together the diverse people of our statewide culture. SC Humanities supports programs that are balanced, reflect sensitivity to a breadth of ideas, encourage open dialogue, demonstrate integrity and are ethical in operations. Established in 1972, SC Humanities is a 501 (c)(3) nonprofit affiliate of the National Endowment for the Humanities.

**The Humanities**

The humanities are our cultural and intellectual heritage, our ways of looking at the almost endless diversity of human culture and experience. They give us knowledge of the past, insight about the present and wisdom for the future. In order to develop the critical skills of reasoning, inquiry and analysis, the humanities disciplines offer methodologies that teach us about others and help us to know ourselves. Humanities disciplines include history, literature, folklore, philosophy, comparative religion, archaeology, African American studies, Southern studies, linguistics, ethics, jurisprudence, political science, anthropology, international studies, art theory and criticism and Women’s Studies. Please see [www.schumanities.org](http://www.schumanities.org) for more about the humanities.

SC Humanitiesseeks projects that:

* cause people to analyze critically their values, beliefs, and attitudes relating to both the past and the present;
* promote public awareness of the importance and pervasiveness of the humanities in daily life;
* build alliances and networks across the state through collaboration with local organizations including education, business, federal, state and local governments;
* make a particular effort to reach underserved areas of South Carolina and ensure that all counties have access to SC Humanities and its programs;
* can become self-perpetuating or that have a high possibility of extended/ lasting impact;
* preserve and promote knowledge and understanding of the history, story and culture of South Carolina;
* engage with current technologies as a means to communicate with larger audiences;
* demonstrate collaboration among teaching institutions and cultural entities to increase the possibility of interdisciplinary exchanges.

**The SC HumanitiesGrant Program**

SC Humanities grants support public programs designed to be accessible by a broad audience, to serve citizens in urban, rural, and small-town settings, and to make possible humanities programs that illuminate and enrich the lives of both audiences and scholars.

The award amounts depend on the merits of the proposal, amount of grant funds available, and the number of quality proposals in competition. As you read these guidelines, please keep in mind that SC Humanities staff consults with applicants in order to provide general guidance on structuring proposals and preparing budgets prior to the application deadline.

The following guidelines are for Major Grants. SC Humanities offers other Mini, Planning, Fast Track Literary, and program grants which are not detailed here, but on the website [www.schumanities.org](http://www.schumanities.org).

**Major Grants**

Major grants are reviewed twice each year by the full board of directors. The spring cycle has submission deadlines in January for programs starting after March 1st. The fall cycle has submission deadlines in August for programs starting after November 1st. Grant awards are in sums between $2,000 and $10,000. Specific deadline and review dates for all grants are announced in the SC Humanities newsletter, on the web site, and may be secured by contacting the office.

Applicants are urged to consult with SC Humanitiesstaff early in the planning stage and should submit a draft for review by staff prior to the application deadline.

**One electronic\*\* copy** (including ALL sections and appendices) of the completed application should be submitted by email to tjwallace@schumanities.org and info@schumanities.org no later than 5 p.m. on the deadline date.

Applicants will receive an email confirmation when their electronic submission is received. If you do not receive the confirmation email, please call the office at 803-771-2477.

\*\*The required electronic submission is subject to reasonable exception. If you cannot provide an electronic application, please contact the office at 803-771-2477 for instructions on submitting a hard copy application.

**Who May Apply for a SC HumanitiesGrant**

Any nonprofit organization or institution may apply for SC Humanities grants for projects and programs of interest to South Carolinians. Applicants must have an EIN number and a DUNS number. The humanities must be central, not tangential, to the project. Funds awarded by SC Humanities are federal in origin and are subject to the federal criteria that governs administrative requirements, allowable costs, and audit requirements. SC Humanities will provide information about OMB requirements to grantees.

**What SC Humanities Grants Do Not Fund**

* **SC Humanities does not award grants to individuals.** Your application must have a nonprofit sponsoring organization.
* **SC Humanities does not award grants to fiscal agents.** Applicants must not function solely as fiscal agents or fiscal sponsors but should make substantive contributions to the success of the project.
* **Creative or performing arts displays or performances**. We do fund the theory and criticism of the arts. Your program should be designed to generate dialogue between humanities scholars and the audience and not for the presentation of the art form itself.
* **Creative writing, autobiographies, memoirs, and creative nonfiction.** The National Endowment for the Humanities and the National Endowment for the Arts consider creative writing to be an arts discipline.
* **Programs that promote** a particular ideology, political, social, or religious viewpoint or advocacy of a particular program of social or political action.
* **Programs intended for only college students or college faculty.** Your program must engage non-academic participants.
* **Programs that carry a high ticket or registration fee.**
* **Courses, scholarships, awards, fellowships or individual research.**
* **Publications, scholarly, writing or editing projects.**
* **Capital projects.** These include the purchase of land, buildings, restorations, constructions, or museum / library acquisitions. Charges may be made to a grant project for equipment purchases (such as modest expenditures related to SC Humanities funded exhibits) if the applicant can demonstrate that the purchase amount of permanent equipment is less expensive than rental charges.
* **Food, alcoholic beverages or entertainment** for audiences.
* **Expenses incurred or paid for before the SC Humanities grant is awarded** or the beginning of the grant period.
* **Competitive regranting**
* **Lobbying**
* **Funds for activities supported by other non-NEH federal funds or overlapping project costs with any other pending or approved application(s) for federal funding and/or approved federal awards.**
* **Indirect costs or cancellation costs**

**Please note:** Although SC Humanities will consider a grant application for a project that has already been funded, SC Humanities gives priority to projects for which grant funds have not previously been received.

**Submitting Your Grant Proposal**

**Preliminary Drafts:**  It is strongly suggested that applicants for a Major Grant submit one preliminary draft of the proposal for staff review and comment prior to the application deadline. SC Humanities will accept this preliminary draft by email, fax or the regular mail. For best results and critique from the SC Humanities staff, this preliminary draft should complete as much of the grant application as possible, especially the three major sections of cover sheet, narrative and budget and should be submitted at least a week prior to the application deadline.

**Final Submission:** Submit **one electronic\*\* copy** (including ALL sections) of your application by the stated deadline to tjwallace@schumanities.org and info@schumanities.org.

deadline. **Organize the application in the order of the following checklist**.

**Grant Application Checklist**

□ Coversheet w/ signatures

□ Grant Narrative (sections 1-7)

□ Budget Summary (section 8)

□ Budget Breakdown (section 9)

□ Appendices / Support Material (section 10)

□ Scholar resume / letters of support or commitment

 □ Project Director’s resume

 □ Letters of support (usually two)

 □ Sample program evaluation

 □ Sample project materials

**The Review and Approval Process**

A preliminary review of all applications will be made by SC Humanities Board Members; a limited number of applicants will move on to a final review.

During the final review, SC Humanities has a number of decision options: full approval of proposal; partial approval; approval with stipulated changes (such as the amount of award, additional outreach plans, etc.); disapproval. If a proposal is not approved for funding but SC Humanities feels the concept has potential, it might suggest possibilities for revision and resubmission. However, such a recommendation does not imply that approval of a revised proposal is assured.

**If Your Project is Awarded:**

1. You will be notified by mail no later than two weeks after the final review. (Typically award recipients are notified by the third week of February for the spring cycle and the first week of October for the fall cycle). A grant agreement form requires signatures from both the fiscal officer and the project director. Upon receipt of this form, SC Humanities will authorize 90% payment.
2. A packet consisting of three report forms accompanies the grant agreement: **The project director’s report, the scholar evaluation and the final financial report.** All three reports must be returned to SC Humanities within 90 days after the close of the grant period. SC Humanities will release the remaining 10% of the award upon receipt of these forms. Failure to submit a final financial report will result in a denial of future funding.
3. SC Humanities is intensifying efforts to be a visible partner in funded projects. SC Humanities’ logo, tagline and a brief statement that acknowledges the National Endowment for the Humanities should appear in the printed literature, promotional items and in press coverage about the granted project. **We strongly encourage that you link your website to** [**www.schumanities.org**](http://www.schumanities.org)**.** The grant packet will include information about shared promotional opportunities as well as instruction on how to retrieve digital / high resolution files of the logo.

**FEDERAL REGULATIONS**

SC Humanities grant funds are federal, therefore applicants must conform to federal regulations and procedures outlined below. SC Humanities’ Federal ID # is 57-0804684**.**

**Prohibitions Against Discrimination**: Projects must conform to federal regulations prohibiting discrimination on the base of race, sex, age, or disability. (Title VI, Section 601, Civil Rights Act of 1965; Title IX, Section 901, Education Amendment Act of 1972; Section 504 of the Rehabilitation Act of 1973; the Age Discrimination Act of 1975)

**Drug-Free Workplace Act**: Employees of the grantees must not engage in the unlawful manufacture, distribution, dispensation, possession, or use of controlled substances in the grantee organization’s workplace or worksite.

**Fair Labor Standards Act**: All professional performers, artists, related and supporting personnel employed on projects or productions that are financed in whole or in part under the grant will be paid not less than the minimum compensation as determined by the Secretary of Labor in Parts 3, 5, 505 of Title 29 of the Code of Federal Regulations. No part of any project shall be unsanitary, hazardous, or dangerous to the health and safety of the employees engaged in the project.
**Executive Compensation Reporting**: Federal regulations require that a report of the total compensation of your five most highly compensated executives for the preceding completed fiscal year be submitted, if the total federal funding from SC Humanities is $25,000 or more in one fiscal year, November 1 – October 31. Please complete the compensation addendum provided by SC Humanities with your application if you meet this criteria.

**FEDERAL PROCEDURES**

**Termination and Suspension**: In the event that SC Humanitiesbelieves or ascertains that the conditions of a grant are not being met, staff will advise the grantee in writing. If the grantee fails to correct such violations or to satisfy SC Humanities that it has conformed to all the terms, SC Humanities may within thirty days of the original notification terminate the grant. After termination, SC Humanities shall have no further obligations to the grantee.

**Program Income Policy**: Any interest earned on grant funds over $250 shall be remitted to SC Humanities within sixty days of the completion or termination of the project.

**A-133 Audit Requirement**: In cases in which the grantee receives $25,000 or more during the course of twelve months, the grantee shall include as part of the evaluation an audit of project financial records.



**The SC Humanities Grant Application**

The SC Humanities Grant Application consists of a cover sheet (form provided), grant narrative, budget summary (form provided), budget breakdown, signature certifications and appendices / support materials. Please adhere to the stated page limits and do not use a font size smaller than 11 points on typed materials. All submissions have firm (not postmarked) deadlines dates.

**The Cover Sheet**

All sections of the cover sheet must be completed legibly for the application to be considered (typed is preferred as the cover sheet is available in Word format; however hand-written will be accepted). The following definitions apply:

**Grant Period:**  The dates entered here are for the period of expenditure of both grant and cost-share funds. The grant period begins on the **first** of the month following review (please see deadline dates for details) and concludes at the **end** of the month in which the last project activity will occur. Dates do not include the final reporting period which extends to a maximum of 90 days after the close of the grant period. The average grant period is less than one year.

**Sponsoring Organization:**  The Sponsoring Organization is the 501 (c)(3) nonprofit organization that administers the fiscal portion of the grant. This organization is recognized as the project host who is ultimately responsible for the activities and outcomes of the project. Sponsors should be able to provide their most recent audited statements if requested. The sponsoring organization must provide the Federal Tax ID number or proof of non-profit status. The Sponsoring Organization must also provide a DUNS number. The Data Universal Number System (DUNS) number is a unique nine-character number that identifies your organization. It is a tool of the federal government to track how federal money is distributed. **Most large organizations, libraries, colleges and research universities already have DUNS numbers.** Ask your grant administrator or chief financial officer to provide your organization’s DUNS number. If your organization does not have a registered DUNS number, it is very easy to obtain one. Registering for a DUNS number is FREE and does not take longer than 2 business days. Instructions on how to obtain a DUNS number are available on the “How to Apply” page of SC Humanities’ website.

Please note that **SC Humanities cannot award grants to fiscal agents.** Applicants must not function solely as fiscal agents or fiscal sponsors but should make substantive contributions to the success of the project.

**Project Director:**  The person responsible for the overall management of the project, for serving as the liaison to SC Humanities, and for preparing and submitting the final narrative evaluation and fiscal report.

**Fiscal Officer:** The person responsible for the receipt / handling of funds, the maintaining of financial records and the completion of the final financial report. He/she must maintain contact with the project director. **The fiscal officer cannot act also as the project director.** Two different, hard signatures are required before SC Humanities is able to authorize a grant payment.

**The Cash and In-Kind Cost Shares:** SC Humanities requires a 1:1 match of every outright requested dollar. The cash and in-kind cost shares, must therefore, equal or exceed the amount of the outright request. Cash cost share is the budgeted or ‘on-hand’ amount of real dollars either raised or contributed towards the project. The in-kind cost share is the amount of *value donated* towards ensuring the project’s success. Typically, this is in the form of volunteer hours, donation of services, space, or materials or a donation of honoraria.

**Sponsoring Organization’s Authorizing Official:** This person is theauthorized agent of the sponsor with authority to commit resources. While he/she may also act as the fiscal officer, this person is often the executive director, board chair, or foundation officer. **The application must have at least two different signatures.**

**The SC Humanities Risk Assessment Form**

Please complete the risk assessment form to the best of your ability. Board Members will review this form. Not all questions may pertain to your organization. Your application will not be disqualified if you cannot completely fill out this form. If you have questions, please contact SC Humanities staff at 803-771-2477.

**The Grant Narrative**

Answer the following questions in full yet concise answers. Begin each answer in the order in which they are listed with the appropriate number and heading. The narrative sections should be typed and should not exceed seven pages (budget and support material will constitute additional pages).

**1. Project Abstract:** Briefly describe the project (approximately 100 words), highlighting the

Project’s goal or purpose; subject matter or theme; role of the humanities; intended audience; and major formats. The format of the proposed program must provide opportunities for public participation in the form of lectures, media content, exhibits, discussions before or after readings, films, or performances, conferences or other exchanges of view between presenters and audience.

**2. Project Personnel:**  List the major project participants by the following categories:

(a) Humanities Scholars

(b) Resource Persons

(c) Additional Project Staff

Include the participant’s name, professional affiliation, discipline and/or profession, and his/her role in the project (consultant, lecturer, panelist, curator, etc.). Provide brief (maximum of three pages) vitae / resume for the project director and major scholar(s), showing qualifications relevant to the project; place these vitae in appendices. List only staff receiving grant funds or providing cost-share. Note that scholars and essential resource persons must be contacted prior to application; if a commitment is tentative, insert a note to that effect following the name.

An essential component on any SC Humanities grant is the active participation of a humanities scholar whose role is to encourage dialogue, analysis, and critical thinking. SC Humanities grants may also be used to retain consultation services (of a scholar or other needed expertise) for a defined period of time to improve the project’s humanities content.

A humanities scholar has particular professional training or experience in one or more of the humanities disciplines. While this is typically an advanced degree (M.A. or Ph D.) in the humanities field, SC Humanitiesrespects the preparation of scholars from diverse cultural traditions and recognizes that learning occurs outside of traditional academic pursuits. Individuals without advanced degrees may also qualify as humanities scholars because of their proven track record in the given discipline. Resource persons with specialized knowledge or experience applicable to a project may serve as additional program participants.

**3. Project Description:** Describe the proposed project concisely. Incorporate the following elements:

* **Overall Goal or Purpose** In the broadest sense, what is the project designed to accomplish?

In what ways do project organizers define the humanities as integral to achieving the project goal?

* **Objectives & Activities** What activity or objectives have been designed to fulfill the goal? If the activity is part of a larger project, briefly describe those plans to provide context for how this application satisfies a certain section of a larger endeavor. Activities must retain a focus on the humanities and creatively provide for audience involvement.
* **Planning & Timetable** How has public interest in the project been assessed? How is this project important to your community? How have scholars and representatives of the intended audience been involved in designing the project? Give the timetable for the project, including all major benchmarks, such as compiling mailing lists, promotion, and completing program materials. A schedule of program activities, even if it is tentative, should be given in as much detail as possible. Include the names of the major presenters at specific events.

**4. Partnerships** List community organizations that will partner with your sponsoring organization on the planning and implementation of the humanities project. Humanities programs are always most successful when they have the support of a wide variety of organizations and people. Strong community collaborations will increase the application’s competitive advantage.

**5. Conclusion & Evaluation:** Summarize the outcomes anticipated from the collaboration of humanities scholars and audiences. Describe the methods to be used to evaluate the effectiveness of the project in relation to its stated goals and objectives, including audience response and demographic data. A sample of an audience evaluation form should be attached in the appendix.

**6. Promotion and/or Distribution:** Offerdetailed plans for promotion / publicity and estimate the size of the direct audience expected to be touched by your project**. Address how you will promote the role of SC Humanitiesas a funding source for the project.** Verbal and print acknowledgement of SC Humanities is required upon award. Media projects should offer realistic distribution estimates and should attempt confirmed as well as intended screenings of the final product.

**7. Product:** Indicate what tangible final product, if any, will result from your project for SC Humanities’ Resource Center (DVDs, website address, cassettes, exhibition catalogs, etc.) Include in your budget the cost of providing two copies of each item to SC Humanities.

**8. Complete the Budget Summary form as supplied at the end of this document.**

**9. Budget Breakdown**

Briefly describe how you arrived at the figures in the budget summary. The total cost share (in-kind, cash, or a combination) must at least equal the amount of the outright request. Costs of designing the project, preparing the application, or other activity prior to the grant approval **cannot** be included in the project budget. The following are budget guidelines:

**SC Humanitiesfunded programs should aspire to be free and open to the public,** however, if a registration fee is necessary, this should be modest, and the intended use must be given in an explanatory budget note. Intended income from registration fees should be listed as “Cash Cost-Share”.

(A) Salaries, wages and benefits may be requested for the project director and/or coordinator, the fiscal agent or other essential project staff; such requests should be minimal, with these and other administrative costs contributed as cost share when possible. Show the period of time, the rate of pay or percent of salary committed to the project.

Honoraria for program participants depend upon individual qualifications and roles. Amounts typically range from $250 - $500 per day. If the honorarium, salary, wage, or fee requested in grant funds is less than the participant would normally receive for a given time and activity, the unpaid balance may be claimed as “in-kind cost share” contribution. Note that each individual to receive grant funds and provide cost share time must be identified in the breakdown.

(B) Travel and per diem for staff and program participants in private vehicles is reimbursable at .505 cents per mile. Airfare is an allowable grant expense; however, international flights are likely not to be fully funded. Meals and lodging are reimbursable at actual cost; grantees are expected to keep such costs within reasonable limits.

(C) Estimate costs of postage, telephone, and supplies, itemizing only major categories. Meeting space and equipment are usually provided as in-kind cost share; cost of rental may be requested if necessary. Itemize costs of materials to be used for the program itself, including hand-outs, rental films, non-permanent exhibit components, equipment for recording major presentations, etc.

(D) Itemize costs of promotional brochures, posters, media advertising, etc., giving quantities and rates.

Grant funds may not be used to pay for indirect costs incurred in administering SC Humanities grants.

The sponsoring organization must maintain financial records (including cancelled checks, invoices, statements, receipts, and affidavits for services from volunteers) for at least three years in the event such records are required for federal audit.

**10. Appendices / Support Material**

Your proposal should include relevant project materials such as letters that confirm scholar participation, letters of support, resumes and/ or copies of sample materials, examples of film work, past promotional efforts, etc. Letters of support (usually no less than two) should clearly describe the benefits the project will offer your community and the writer should be involved / supportive of the endeavor.

**Note: if your project involves a public school** Proposals must document the support of all appropriate administrative persons and/or groups and the project must have a clear relationship to the humanities disciplines, whether it is extra curricular or incorporated into the established curriculum. The project should have potential ramifications for more than one kind of audience, though the targeted audience may be students, teachers, parents, or any combination of these.

**Note: if your project is a documentary film** Examples of media work may be in either DVD or online formats. SC Humanities will return support material upon request. SC Humanities will fund the following documentary activities: pre-production, scripting, production and editing or post-production outreach and evaluation (including discussion groups, classroom use, printed ancillary materials and study guides). Preference is given to state or regional projects whose themes, relevance and approach will illuminate some aspect of South Carolina life and values.

The following documentation must accompany media proposals:

 1. Vitae and credentials of all principal media personnel. Samples of previous work should be included with the proposals for review.

2. Letters of commitment from media participants, production personnel, and distribution sources (commitment to broadcast).

3. A statement that all rights to subject materials will be secured and for what period.

4. A proposed treatment for scripting and production grants.

5. Realistic production calendar.

6. Production budget that includes funds for sufficient production liability insurance and errors and omissions insurance.

7. A plan for raising all production funds. (SC Humanities funds will not be released until grantee has satisfied staff that sufficient funds have been produced and that qualified production personnel are in place.)



**Grant Application Cover Sheet**

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

Has SC Humanities funded this project previously? □ Yes □ No

If Yes, how much was the award and when was it made? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Grant Type**: □ Major □ Mini □ Planning

**Grant Period:** (enter numerically mo. / day / yr.) \_\_\_\_ / \_\_\_\_ /\_\_\_\_ to \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**Sponsoring Organization**

Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Phone\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Address\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Fax\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Website\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

US Congressional District\_\_\_\_\_ State Senatorial District\_\_\_\_\_ State Representative District\_\_\_\_\_\_

(You may obtain district information from your county election board or at [www.scstatehouse.gov](http://www.scstatehouse.gov))

Does your organization receive $300,000 or more in US federal dollars a year? □ Yes □ No

Does your organization undergo an annual audit by an independent auditing agency? □ Yes □ No
Have any of your organization’s audits produced findings from federal agencies? □ Yes □ No
Federal Tax ID Number (REQUIRED)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
DUNS Number (REQUIRED)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Project Director**

Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Phone\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Address\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Fax\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Email address\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Fiscal Officer**

Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Phone\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Address\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Fax\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Email address\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Outright Grant Request: $\_\_\_\_\_\_\_\_\_\_

Cash Cost-Share: $\_\_\_\_\_\_\_\_\_\_

In-Kind Cost Share: $\_\_\_\_\_\_\_\_\_\_

Total: $\_\_\_\_\_\_\_\_\_\_

(The above figures should correspond to the columns of Budget Summary chart / section #8 of the application)

 **Location/s and Date/s of the project:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Signatures**

(By signing and submitting this application, the authorizing official is providing the applicable certifications regarding debarment, suspension, and compliance with the nondiscrimination statutes as listed within the SC Humanities grant application. No “per” signatures are accepted.)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Authorizing Official Fiscal Officer Project Director



**SC Humanities Risk Assessment Form**

Please answer the following questions to the best of your ability. Board Members will review this form. Not all questions may pertain to your organization. Your application will not be disqualified if you cannot completely fill out this form. If you have questions, please contact SC Humanities staff at 803-771-2477.

1. Please list all SC Humanities grants received within the past two years.
2. Personnel:
	1. Staff size: \_\_\_\_\_ (# FTE’s)
	2. How many staff members left the organization during the prior calendar/fiscal year? \_\_\_\_\_
	3. For the following key project personnel, please indicate how long the staff member has been with the organization:
		1. Executive Director \_\_\_\_\_ < 1 year \_\_\_\_\_ > 1 year
		2. Project Director \_\_\_\_\_ < 1 year \_\_\_\_\_ > 1 year
		3. Finance Director \_\_\_\_\_ < 1 year \_\_\_\_\_ > 1 year
3. Board of Trustees/Directors:
	1. Number of voting members: \_\_\_\_\_
	2. Of those voting members, how many are independent? \_\_\_\_\_
	3. Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?

\_\_\_\_\_ Yes \_\_\_\_\_ No

1. Does someone other than the person responsible for reconciling back accounts:
	1. Make deposits? \_\_\_\_\_ Yes \_\_\_\_\_ No
	2. Make withdrawals? \_\_\_\_\_ Yes \_\_\_\_\_ No
	3. Sign checks? \_\_\_\_\_ Yes \_\_\_\_\_ No
2. Does the organization engage an independent accounting firm to perform an annual financial statement audit? \_\_\_\_\_ Yes \_\_\_\_\_ No
	1. If yes, have you changed auditors in the last twelve months? \_\_\_\_\_ Yes \_\_\_\_\_ No
	2. If yes, has any auditor issued a “going concern” opinion for your financial statements during the past twelve months? \_\_\_\_\_ Yes \_\_\_\_\_ No
3. Please indicate if the organization has the following written policies in place:
	1. Code of Ethics Policy \_\_\_\_\_ Yes \_\_\_\_\_ No
	2. Conflict of Interest Policy \_\_\_\_\_ Yes \_\_\_\_\_ No
		1. If yes, are officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? \_\_\_\_\_ Yes \_\_\_\_\_ No
	3. Whistleblower Policy \_\_\_\_\_ Yes \_\_\_\_\_ No
	4. Document Retention and Destruction Policy \_\_\_\_\_ Yes \_\_\_\_\_ No
	5. Executive Compensation Policy \_\_\_\_\_ Yes \_\_\_\_\_ No
	6. Accounting Policies and Procedures Manual \_\_\_\_\_ Yes \_\_\_\_\_ No
	7. Written Internal Controls \_\_\_\_\_ Yes \_\_\_\_\_ No
4. Federal funding:
	1. Does your organization receive federal funding? \_\_\_\_\_ Yes \_\_\_\_\_ No
		1. If yes, do you generally receive more than $750,000 in federal funding? \_\_\_\_\_ Yes \_\_\_\_\_ No

*If yes:*

* + - 1. Type of auditors report issued: \_\_\_\_\_ Unmodified \_\_\_\_\_ Modified
			2. Did you qualify as a low-risk auditee? \_\_\_\_\_ Yes \_\_\_\_\_ No
			3. Were any material weaknesses or significant deficiencies in internal control over financial reporting and/or federal awards identified? \_\_\_\_\_ Yes \_\_\_\_\_ No
			4. Were there any financial statement findings? \_\_\_\_\_ Yes \_\_\_\_\_ No
			5. Were there any findings and questioned costs arising from your Major Federal Awards Program Audit? \_\_\_\_\_ Yes \_\_\_\_\_ No

**8. The Budget Summary**

**A. Anticipated Sources of Income**

1. Will an admission or registration fee be charged? □ Yes □ No

(Fee per person $\_\_\_\_\_\_) Approximate amount to be raised $\_\_\_\_\_\_

 2. Other cash from applicant’s own funds $\_\_\_\_\_\_

 3. Please indicate contributions from third parties:

(Indicate whether the funds are confirmed or projected)

 a. Private \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_

b. Corporate \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_

c. Government \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_

**Totals : $\_\_\_\_\_\_**

**B. Anticipated Expenses**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Expenditures** | **SC Humanities Grant Funds** | **In-Kind** **Cost Share** | **Cash** **Cost-Share** | **Total** |
| **A. Personnel**  |  |  |  |  |
| a. Salaries or fees |  |  |  |  |
| b. Other benefits |  |  |  |  |
| c. Honoraria |  |  |  |  |
| d. Volunteer service |  |  |  |  |
|  |  |  |  |  |
| **B. Travel / Per Diem** |  |  |  |  |
| a. Transportation |  |  |  |  |
| b. Meals & lodging |  |  |  |  |
|  |  |  |  |  |
| **C. Program materials** |  |  |  |  |
| a. Postage & telephone |  |  |  |  |
| b. Supplies & materials |  |  |  |  |
| c. Office, meeting, exhibit space |  |  |  |  |
| d. Equipment rental |  |  |  |  |
|  |  |  |  |  |
| **D. Promotion** |  |  |  |  |
|  |  |  |  |  |
| Indirect costs |  |  |  |  |
| Additional costs |  |  |  |  |
|  |  |  |  |  |
| **TOTALS** |  |  |  |  |