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DEPARTMENT OF THE INTERIOR AND RELATED AGENCIES APPROPRIATIONS FOR 2002

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HEARINGS BEFORE A SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS HOUSE OF REPRESENTATIVES ONE HUNDRED SEVENTH CONGRESS FIRST SESSION

SUBCOMMITTEE ON THE DEPARTMENT OF THE INTERIOR AND RELATED AGENCIES

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NOTE: Under Committee Rules, Mr. Young, as Chairman of the Full Committee, and Mr. Obey, as Ranking Minority Member of the Full Committee, are authorized to sit as Members of all Subcommittees.

DEBORAH WEATHERLY, LORETTA BEAUMONT, JOEL KAPLAN, and CHRISTOPHER TOPIK,
Staff Assistants

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**DEPARTMENT OF INTERIOR AND RELATED
AGENCIES APPROPRIATIONS FOR 2002**

SMITHSONIAN INSTITUTION

**Testimony of Lawrence M. Small, Secretary
Smithsonian Institution
Submitted to the House Interior Appropriations Subcommittee
April 2001**

Thank you for the opportunity to present testimony on behalf of the Smithsonian Institution. I appreciate the chance to share with the members of this Subcommittee the successes the Institution has enjoyed this past year, and to highlight for you our fiscal year 2002 budget request to Congress.

I have been Secretary of the Smithsonian for more than a year now and I have found that the Smithsonian is a spectacular place, extraordinarily rich and diverse, with incomparable treasures and infinite promise -- yet not without its share of challenges. I was brought in by the Smithsonian Board of Regents to modernize this Institution, in terms of both how it deals with its various external constituencies and its internal management. To take the Smithsonian into the 21st century with creativity and vision, we need a clear sense of strategic direction. As I stated in my first testimony before this Subcommittee last year, we have two distinct missions that will set the course of the Smithsonian over the coming decade.

First, we want to impart a much greater and more widely shared understanding of the rich texture of American national identity. To that end, we want the Smithsonian to be the nation's most extensive provider of authoritative experiences that connect the American people to their history and to their scientific and cultural heritage.

Secondly, we want the Smithsonian to be part of extending the uniquely powerful contribution science has made to the development of the United States. To that end, we are committed to promoting scientific research, innovation and discovery in a select few fields where the Smithsonian has traditionally excelled and had a comparative advantage -- astrophysics, life sciences, earth and planetary sciences and human studies.

In order to realize these missions successfully, the Institution has charted a program driven by four major goals: (1) public engagement, (2) focused scientific research, (3) management excellence and (4) financial strength. I would like to highlight the accomplishments made toward fulfilling each of these goals during calendar year 2000.

In the area of public engagement, the Institution enjoyed a record 40 million visits last year to our many museums, research centers and the National Zoo. We also had 24 million virtual visits to our many Web sites. We are reaching American citizens across the country in unprecedented numbers.

The extent of our public impact was achieved with major new exhibitions, such as *Piano 300*; *Vikings*; *Salvador Dali*; *the Dresden Green Diamond*; *Buccellati: Art in Gold, Silver and Gems*; our nuclear submarine show, *Fast Attacks and Boomers: Submarines in the Cold War*; the Cooper Hewitt's *National Design Triennial* and a number of other well-received exhibitions.

Most notable among new exhibitions perhaps, is *The American Presidency: A Glorious Burden*, at our National Museum of American History's Behring Center. Timed to coincide with the 2000 presidential election, it opened on November 15th. Since then, more than 275,000 people have visited the exhibit, which not only examines the roles and duties of the commander in chief, but also the meaning of this office to the American public. In addition to the permanent exhibition, the Museum is sponsoring a year-long series of events based on the show, including films, lectures, interviews, panels, living history programs and school tours, to name just a few. A teachers' manual, produced in partnership with the History Channel, is also available. And, a Web site has been developed which features a navigation system linking the presidents and the objects from the exhibition to specific periods in American history: <http://americanhistory.si.edu/presidency>. Further, thanks to the generous support of this Subcommittee and your Senate colleagues, in 2002, the Institution will launch a traveling version of the *Presidency* exhibit with more artifacts and materials from our vast collections.

We had about 2.4 million visits to the National Zoo last year, and we expect to easily exceed that now that the Smithsonian's "first couple," our giant pandas Mei Xiang (*may SHONG*) and Tian Tian (*tee-YEN tee-YEN*), have made their debut. In their first week, they attracted 76,181 visitors, and since their first public appearance in early January, nearly a half a million people have visited the giant panda house. The Zoo staff worked very hard in 2000 to finalize the negotiations with the China Wildlife Conservation Association, and successful private fund-raising efforts made it possible to bring the pandas to Washington.

Millions of Americans saw Smithsonian treasures in their hometowns through our extensive traveling exhibitions, outreach and education programs, and our Smithsonian Institution Affiliations Program. We now have 68 affiliates in 25 states, the District of Columbia and Puerto Rico, more than double what we had last year. We are bolstering the Smithsonian's program of traveling exhibits and expanding our adult education courses and trips and our efforts to appeal to students of all ages. Last year, more than 6.5 million school children visited us on the National Mall and more than 24,000 teachers directly benefited from our training and development programs. We are lending from our vast collections to help museums across the country enrich their exhibition space. Because it may be difficult for new audiences to come great distances to us, we are bringing the Smithsonian to them.

With regard to research, the Institution is in the final stages of our restructuring plan for science. This new strategy will allow us to focus on fewer, key scientific priorities, taking into account the unique collections of the Institution and its remarkable array of facilities, equipment and personnel. We are looking at how best to increase coordination and collaboration among Smithsonian scientists, and between Smithsonian scientists and other organizations, in order for us to address larger scale scientific questions. It is our goal to create organizational units based on key themes in science which will enable a significantly higher level of private support and allow the Institution to communicate more effectively to the public and the nation the importance of our work and the excellence of scientific research at the Smithsonian, in general.

The Smithsonian has made great progress toward attaining management excellence in the last year with the appointment of leaders who, with their varied perspectives and talents, bring fresh insights to the Institution. We must have a strong management team in place, and be equipped with modern systems

to execute a series of projects which the Institution is undertaking in the future. As the Smithsonian's leaders build their teams and institute contemporary management practices, the Institution's taxpayer dollars, endowments and private contributions will be better directed, accounted for and deployed.

One of the tools that we are instituting to improve management practice is performance measures. Throughout my years in managing both large and small organizations, I have learned that tracking performance is one of the most successful and understandable philosophies to which a manager can commit himself. Unless we know what we are doing, and how we are doing it, as measured by real outcomes, we have no idea of how well we are doing. For that reason, I have initiated an Institution-wide process to develop performance measures that will allow us to assess the effectiveness of our museums' activities, including exhibits, education, collections, research and administrative functions. These measures incorporate the direct input of the employees and managers who will be responsible for outcomes assessment. This effort conforms to the Congressional vision in the Government Performance and Results Act of 1993. We anticipate having a battery of performance measures to begin tracking against a baseline at the beginning of fiscal year 2002.

Contributions to Smithsonian museums from individuals, foundations and corporations reached \$206 million in fiscal year 2000. Often, these funds are restricted to the purposes of producing new exhibitions, modernizing existing exhibitions and acquiring artifacts and collections. Last year the Smithsonian celebrated its largest gift ever when philanthropist Ken Behring increased his commitment to the Institution to \$100 million with an \$80 million donation for the American History Museum to refurbish its exhibitions. In the first half of fiscal year 2001, the Institution received \$108.4 million in commitments, including the gift from the Reynolds Foundation to purchase the well-known Gilbert Stuart "Lansdowne" portrait of George Washington. Contributions such as these are a supplement, not a replacement, for our federal appropriations. While these funds are important to our programmatic needs, they do not support our basic responsibilities for operations and facilities management or maintenance of our buildings.

Smithsonian Business Ventures also contributed greatly to our success last year. Total net gain for fiscal year 2000 for all business activities was \$24.6 million. *Smithsonian Magazine*, one of the largest, general-interest cultural magazines in the industry -- with more than two million subscribers and nearly eight million monthly readers -- generates more than half of Business Ventures' total revenue. The other half comes from the museum stores and restaurants, mail order gift catalog, and product development and licensing. Our two IMAX theaters were recently consolidated into Business Ventures. Additionally, e-commerce at the Smithsonian got a jump start last fall with the creation of <http://www.SmithsonianStore.com>, an online venture that offers more than 1,200 high quality products in a state-of-the-art shopping experience. As you know, revenues from Business Ventures are discretionary funds used to support research, collections, educational activities and public programs throughout the Institution.

With regard to the Institution's stewardship of public resources, I know there have been instances in recent years that have caused concern about the Smithsonian's ability to conduct sound financial analysis of our construction projects and to adequately project costs of facilities maintenance. Acknowledging that we need to do a better job of analyzing the full costs of projects and their

implications for future financial planning, we are currently undertaking a master plan for repair, restoration and alterations study to determine those costs over a ten-year time period. Additionally, Congress directed in fiscal year 2001 that the Institution engage the services of the National Academy of Public Administration (NAPA). NAPA is reviewing the expenditure of Federal funds for repair and restoration since 1996, and our estimates of operational costs relating to new construction projects. We anticipate that NAPA's review will strengthen the work already underway. The study of repair, restoration and alterations will be available in late spring, and we will work with you to better communicate our stewardship of public resources.

To summarize the Smithsonian's budget request for fiscal year 2002, for all operating and capital accounts we seek a total of \$494.1 million, an increase of \$40.2 million above the fiscal year 2001 appropriation. Of this amount, \$396.2 million is for Salaries and Expenses, and \$97.9 million is for our capital program -- specifically \$67.9 million for Repair, Restoration and Alteration of Facilities, and \$30 million for Construction.

The requested increase in the Salaries and Expenses account will go toward mandatory costs for sustaining base operations and for priority program requirements. For fiscal year 2002, these program priorities total \$11.7 million and 23 new positions, and include activities related to the National Air and Space Museum Udvar-Hazy Center, outreach, security system modernization and maintenance and managed information technology infrastructure. These priority programs will enable the Institution to meet its goals of public engagement and management excellence.

For the Udvar-Hazy Center, the request includes \$1.7 million and 10 positions to continue to prepare artifacts for the relocation from the Paul E. Garber Facility in Suitland, Md., to the new site in Virginia, and to plan educational, public and information technology programs for the Center. Funding provided by this Subcommittee in fiscal year 2001 already has enabled the Air and Space Museum staff to restore 17 space artifacts and aircraft, and another eight that are currently ongoing, will be on display in the Udvar-Hazy Center when it opens to the public in December 2003.

An increase of \$2 million is requested in fiscal year 2002 to develop a coordinated national outreach program to expand the presence of the Smithsonian Institution across the nation. The funding will be used to support the growing Smithsonian Affiliations Program, development and deployment of additional Smithsonian Institution Traveling Exhibition Services (SITES) exhibitions and the Museum on Main Street (MOMS) program, as well as augmenting outreach by The Smithsonian Associates (TSA) program and our museums.

The Institution is currently evaluating possible solutions to meet our financial and human resource management requirements, and our request includes up to \$5.2 million for this purpose. We may also use up to \$1 million from base Institution-wide information resource pool funds, making a total of \$6.2 million potentially available for this crucial effort in fiscal year 2002. Possible solutions are being evaluated in order for managers to be able to run the contemporary Smithsonian with the essential office systems that are appropriate for such a large and complex organization.

The request includes up to \$2 million to evaluate methods of establishing a standards-based

information technology (IT) infrastructure that would provide distributed systems, user interfaces, information and communication services to business applications and support applications throughout the Smithsonian. The Institution may also use up to \$846,000 from the base Institution-wide information resources management pool, making a total of up to \$2.846 million potentially available for this effort.

For security system modernization, \$800,000 is requested to continue replacement of the outdated Smithsonian Institution Proprietary Security System (SIPSS) and maintain and upgrade the modernized system components.

The Smithsonian's Salaries and Expenses request also includes \$13.5 million in redirections to support other Institutional priorities. These redirections represent management reforms and restructuring that will enable the Institution to provide improved services in the future.

Let me make a comment on these proposed redirections. Made with the conscious goal of attaining management excellence at the Smithsonian, these redirections are necessary steps for the realignment of the Institution's vast operations to conform to our four major goals and our two driving missions. Throughout the latter half of the last century, the Smithsonian grew in many glorious yet seemingly spontaneous ways. That growth appears to have brought a wealth of fascinating programs under the Smithsonian's umbrella -- as well as under Congressional care -- but without an apparent rationalization of our efforts. In this day and age, we simply cannot continue to be all things to all people. Responsible and insightful management must recognize that fact, and pare back certain activities and programs that do not fall within our sphere of excellence.

Management excellence requires the courage to analyze programs and determine what is essential and what is not. We can achieve much more cost-effective use of the taxpayers' money by out-sourcing some administrative services. We can justify our greater need for facilities maintenance funds by eliminating activities that are not mission-critical. By making the choices and redirecting our entrusted public resources to those areas in which the Smithsonian can and should invest, we will achieve management excellence.

In order for the Smithsonian to honor its commitment to stewardship of the artifacts and facilities with which it has been entrusted, we must have an aggressive and sustained program for the renewal of our buildings. The Institution has developed such a program, which emphasizes restoring some of our most monumental buildings over the next decade while sustaining a constant funding level to continue renewal and code compliance in other facilities. Within the \$67.9 million requested in this budget for Repair, Restoration and Alteration of Facilities, the Institution will address our most crucial renovation and maintenance needs in some of our oldest facilities. The funds will be allocated among the Patent Office Building (\$15 million), National Zoo (\$10 million), National Museum of Natural History (\$12 million), and Arts and Industries Building (\$6 million), as well as to the repair, restoration, and alteration of other facilities.

The total cost of renovating the Patent Office Building is estimated to be \$151 million. The Smithsonian requests \$15 million in fiscal year 2002 for the renovation. The remaining funding to

complete the renewal and restoration, \$102.4 million, will be sought in future years. To date, contracts have been awarded to remove antiquated systems and hazardous materials in the building, and to design the physical plant renewal project. Later this year, using existing funds, the Institution will contract to replace the windows and restore the facade of the building, as well as lease space needed for collections' storage and relocation. The \$15 million being sought will begin the renewal and restoration of the buildings systems, including HVAC replacement; electrical, plumbing, and other utility systems; as well as upgrading fire protection and communications systems. The request will also allow us to restore the elevators and create code-compliant, accessible entrances and public rest rooms. The renovations will also replace outdated and inadequate performance space by providing a new auditorium for public presentations and programming beneath the courtyard. In addition to renovating the building's infrastructure, the Smithsonian is committed to raising more than \$50 million in additional private funds to make further enhancements to the Patent Office Building such as adding an information kiosk and an enclosed courtyard for additional public use. The Institution will be seeking Congressional approval for these efforts.

The Smithsonian's Construction request of \$30 million will provide additional funds to allow us to move forward with the construction and equipping of the National Museum of the American Indian facility on the Mall. Based on the new cost estimate of \$186 million, the Institution has identified a shortfall of \$76 million. The Institution plans to request additional funding in fiscal year 2003, while continuing the aggressive fund-raising campaign already underway. The site preparation construction contract was awarded after the groundbreaking ceremony in September 1999, and preparatory work, including site fencing, utility relocation, sheeting and shoring and full excavation of the site, was completed this past January. The current planned construction contract will be executed in phases, beginning with a foundation and structure phase, followed by the completion of the building's exterior skin and roof for total weatherproofing of the structure, which will be paid for in part with funds previously provided by this Subcommittee.

At the start of the 21st century, the Smithsonian is at a turning point. The budget I have laid out for you today sets the stage for the revitalization work that will take place in the first decade of this century, and is essential if the Smithsonian Institution is to continue to be a top quality educational, scientific and cultural institution, and if we are to continue to occupy the special place we have in American life. That is my goal as Secretary, and I know you share that goal on behalf of the American people.

Thank you for the opportunity to present testimony. I would be pleased to answer any questions for the record.

SMITHSONIAN INSTITUTION
QUESTIONS FOR THE RECORD
April 11, 2001

Budget Priorities

Question 1: If the Committee's allocation is not sufficient to provide all increases in the Smithsonian's fiscal year 2002 budget request, what are the priorities and what would you recommend be reduced?

Answer: The Institution's priorities continue to be those related to public impact (increasing the Smithsonian's presence throughout the country through the outreach initiative, and preparing collections for the move to the Udvar-Hazy Center of the National Air and Space Museum at Dulles); and to management excellence (improving the Institution's information technology, especially as it relates to financial and human resources management systems, and continuing the modernization of the Institution's security systems). Also related to both of these goals is the Institution's request for increased funds for Repair, Restoration and Alteration (RR&A) of Facilities, and for completing construction of the National Museum of the American Indian on the Mall.

As noted in the FY 2002 budget request, the Institution has begun an extensive study of all of its operations, and has proposed initial savings resulting from this effort. The Smithsonian will continue to undertake further studies, which may yield additional savings in the future; however, these studies are longer-term, and the results are not known at this time.

Question 2: A review of the Smithsonian's appropriations history indicates fairly predictable steady but modest increases for operations and maintenance. It is unlikely that our allocation will accommodate large O&M increases in the future. How then do you intend to address the increased O&M costs associated with the unprecedented number of large capital projects the Smithsonian has underway?

Answer: The Smithsonian will need additional increases in the future in order to avoid the continuing growth of a large backlog of unfunded maintenance needs, as identified by the Committees. The FY 2002 request for \$1,900,000 for preventive maintenance included in the Repair, Restoration and Alteration (RR&A) of Facilities account, if funded, will help to provide

the required maintenance of the facilities now under restoration or construction, and help prevent the accumulated backlogs of the past.

National Museum of the American Indian

Question 3: The Committee is concerned about a \$90 million cost over run for the National Museum of the American Indian Mall project. This cost overrun is precedent setting in this bill and raises serious questions of mismanagement on the part of the Smithsonian. Please respond in detail to the following questions: a) what were the specific scope changes and their attendant costs?, b) what are the soft costs?, c) what are the actual redesign costs resulting from the termination of the previous design contract?, d) what are the changes required by the Commission of Fine Arts and the Capital Planning Commission and the costs of each?, e) how was the \$24 million increase in construction attributed to the curvilinear design determined?, f) were independent third party reviews conducted and if so by whom?, g) did an architecture/engineering firm or a construction management firm assess the cited inordinate escalation in construction costs in the capital region market since 1999?

Answer: The following detailed information is provided in response to your questions.

a) Scope changes:

- The original budget did not include design or construction costs for the retail and concessions spaces. The construction costs included in the current estimate for these areas are approximately \$5 million. The design costs for these spaces are included in the overall design estimate, but contributed no more than \$400,000 - \$500,000 to the increase in design costs.
- Exhibit components that have grown in scope are the Study Collections and the Preparation/Orientation Theater. These items would have normally been funded out of Salaries and Expenses exhibit funds. However, due to the importance of integrating these elements into the design of this organic, curving building, the Institution determined that these items should be included in the construction project. Construction costs for the Study Collections and Preparation/Orientation Theater are in the range of \$1,000,000 each. Design costs for these items contributed approximately \$200,000 to the increase in design fees.
- Technology scope has increased, as the sophistication and integration that computerized building systems can now deliver were hardly envisioned in 1993. The design team has worked extremely hard to

build into the Mall Museum a forward-looking communications technology that will not be obsolete the day it opens. As the sophistication of these types of systems has increased over the years, more and more components were added to keep the building "state-of-the-art".

- There are several cultural and artwork items that have been added to the project budget. These were not included in the original project estimate because the specifics were not known at that time. These are, for example, the sculptural copper screen wall, the prism sculpture for the south window, Grandfather rocks for the landscape, cast-glass doors and light sconces, Native-crafted adzed wood and wampum shell inlays, and other items. The construction costs for these items (some of which are covered in the General Contractor's price and some of which will be purchased separately for the General Contractor to install) total in the \$2 million - \$3 million range.
- Finally, the \$206 million dollar budget reflected in the report to the Regents in January 2001 included \$20 million for "costs of completion" that are not specifically part of the construction budget. Rather, these costs, which include inaugural exhibit installation and opening events, and the costs of financing private loans based on pledges for which actual cash has not been received, represent the trust fund portion of the initial occupancy and operating costs.

b) Soft Costs are administration and management costs, such as:

- A/E services for submittal review and site observation during the construction phase;
- Construction Management fees for on-site management and inspection personnel;
- Testing and permitting fees from independent testing agencies and local authorities
- Utility coordination and connection fees (PEPCO, water, sewer, etc.)
- Change order contingency/reserve of approximately 10% of the construction costs

These costs have increased by over \$4 million due mostly to the unprecedented complexity of the building design.

c) Redesign costs resulting from the termination of the previous design contract and changes required by the National Capital Planning Commission and the Commission of Fine Arts are in the \$10 million range. The current A/E inherited a design from the previous team that was only 10% to 20% developed. There were numerous conflicts and problems that had not yet been addressed. Among the items that had to be corrected before design development could continue with the new team were:

- A serious headroom problem, which resulted in needing to increase the total building height by approximately 2-1/2 meters or 8 feet. Raising the building height changed the building code classification to "high-rise", which required the addition of a Fire Command Center (an independent, separate room accessible from the outside only to fire department personnel) and also required stricter building material codes and standards.
 - Integration of mechanical, electrical, plumbing, and fire protection systems into the design. The previous team had not advanced to the point of coordinating the extremely sophisticated systems design needed to run the building. Numerous conflicts with the curvilinear structure and restricted space allowances needed to be resolved throughout the remainder of the design process.
 - The curvilinear geometry was not entirely resolved. The new team put a tremendous effort into assuring that the curves closed around the perimeter of the building and that all curves were described geometrically on paper in a manner that could be understood and accordingly built in the field.
- d) The specific changes required by the Commission of Fine Arts and the National Capital Planning Commission included the following items:
- Remove the column ("crutch") at the east end which was added to increase stability of the large, cantilevered overhang ("column is too architectural/rational")
 - Revise the solstice window on the south elevation from a straight slot configuration to a look more like a natural fissure or crevasse in a rock formation
 - Reduce the height of the fifth floor window band to achieve more of a narrow slot appearance
 - Reconfigure the arrangement of air-intake louvers to a diagonal arrangement, rather than a vertical alignment
 - "Finesse" the convex and concave curves on all elevations to reinforce the horizontality of the building and diagonal movement
 - Revise the window configurations on the west façade to invoke "cave dwelling" appearance ("more rhythmic, less ordered")
 - Improve integration of the loading dock ramp retaining wall into the landscape and the western end of the water feature
 - Revise the wetlands water feature to appear more "finger-like" and less pond-like
 - Enlarge the terminus pool at the eastern end of the water feature
 - Redesign eastern end of the water feature to appear as a more natural outgrowth of the building

In addition, the design team was asked to consider using curved glass in all window openings, and substituting an Italian granite for all site paving in lieu of American Mist granite. This request required extensive research and numerous sketches, models, on-site mock-ups, and additional presentations. The Institution eventually succeeded in convincing the agencies that these changes were not appropriate, but considerable effort and funds were spent in the process.

The Institution estimates that the delivery of the final construction documents was delayed approximately 4-5 months in order to satisfactorily address the concerns of the National Capital Planning Commission and the Commission of Fine Arts. The additional design fees incurred as a result of these changes and the schedule delay is estimated at over \$2 million. It is difficult to estimate the construction costs involved in each item simply because we did not continue down the earlier design path for comparison. However, incorporating the revised design elements contributed to the overall curvilinear complexity of the exterior skin of the building and the landscape/hardscape design, and thus increased overall construction costs. In addition, pushing out the schedule contributed to higher escalation figures in the construction cost.

- e) The estimate of the cost increase of \$24 million due to the curvilinear design and exterior skin of the building was based on a review of the specific components of the government estimate prepared in August 2000 by Bovis Lend Lease. The trades most directly affected include foundation/structure, masonry/stone and metals, but the impact is reflected in nearly every building trade. After accounting for the cost of scope changes enumerated in the first section of this response, the remainder was attributed to the unique curvilinear character of the building.
- f) Independent third party reviews were conducted throughout the design process. ANADAC was asked to prepare an independent construction cost estimate on the GBQC design at the 35% design stage. Hanscomb, a subconsultant to the original and current design team, produced two construction cost estimates for the original team and two for the current team at the 35% and 75% design stages. Bovis Lend Lease prepared independent construction cost estimates on the "cure documents" (received from the original team as part of the termination process), at the revised schematic phase, 35% design development, 50% and 75% construction document phases, and a final estimate based on the current phasing strategy.

- g) The cost increase attributed to escalation was based in part on the government estimate performed by Bovis Lend Lease in August 2000. That estimate identified \$6 million in escalation from the originally planned construction start of mid-1997 to the new projected start in mid-2001. We attributed the remaining escalation to the widely publicized inflation in construction costs that has been experienced in the Washington DC area in the past year. The construction bids received in January in fact reflected an increase of \$17 million in construction costs over the August government estimate. We did not seek outside verification of the effect of the unique Washington market conditions, as we have experienced similar increases in construction estimates recently in such projects as the Udvar-Hazy Center at Dulles.

Question 4: The Smithsonian is planning on an additional \$50 million in federal funds to complete this project. This is \$50 million above the amount that Congress had originally been asked to provide. Given the extremely demanding backlog maintenance need and the future demands for three additional large scale capital projects, what work do you propose having to postpone should the Committee decide to provide some additional funding for this project?

Answer: We cannot propose work to postpone because the Institution is very concerned about the backlog of repairs to its existing physical plant. We are equally concerned that we fulfill the commitment made to Native peoples—and to all Americans—to construct the final building for the National Museum of the American Indian authorized by P.L. 101-185 in 1989. Failure to complete the NMAI Mall Museum as originally envisioned would have far-reaching adverse consequences. Beyond the negative message to Native Americans, the Institution also stands to lose credibility with many private contributors—not just for this project, but in all areas of collecting and fundraising, which provide a vital piece of the overall financial strength of the Smithsonian.

In order to balance these competing needs, the Smithsonian has carefully evaluated the renewal requirements of its existing buildings, and has developed a capital program request for FY 2002 that will continue urgent RR&A work and fund a portion of the additional funds required to complete the NMAI Mall Museum.

Future Operation and Maintenance Costs

Question 5: In the past year, the Smithsonian has told the Committee that serious backlog maintenance needs, including the Patent Office Building, have nearly doubled. The American Indian Museum has a \$90 million cost overrun. The new Dulles Museum and major renovations at the American History Museum are now underway. All of these efforts portend enormous increases in your future operation and maintenance needs. Given the reality of the budget, what specific areas (actual savings) do you plan to reduce -- through programs and FTEs to accommodate these new needs?

Answer: As noted previously, the Smithsonian has undertaken extensive studies of ways to accomplish various services and activities, with decisions leading to some initial FY 2002 proposals to outsource or eliminate certain programs. The Institution will continue with additional longer-term studies with the hope of identifying additional savings that might be proposed in the future; however, the results of these studies are not known at this time.

Office of Government Relations

Question 6: The Congressional Affairs Office currently has 7 FTE and is about to hire another. By comparison, the National Park Service has 9 with a budget of \$1.9 billion, the Fish and Wildlife Service has 8 with a budget of \$1 billion and the Department of the Interior has 19 with a budget of \$8.4 billion. Why does the Smithsonian with a budget of \$455 million need 8 individuals to perform this function?

Answer: The Smithsonian's Office of Government Relations (OGR) is responsible not only for congressional affairs, but also for liaison with the Executive Branch of the Federal Government and State and local governments. OGR also provides services in connection with the visits of foreign dignitaries. As the world's largest museum and scientific research complex, the Smithsonian's programs and policies are the subject of much interest for these entities, and require extensive liaison activities.

Of the seven positions currently filled at OGR, six are federal FTEs, and one is a Trust position. The Director of OGR is a Trust position, supervising all activities of the office. The four current liaison officers are federal FTEs. The vacant fifth liaison position is a Trust position. OGR liaisons are responsible for maintaining detailed knowledge of the activities and programs of 16 museums, galleries, and archives, and nine scientific research stations. The remaining two federal FTEs are support positions.

OGR serves the Smithsonian by communicating Congress' and the Administration's procedures, requirements and preferences to the management and staff of the Institution. OGR staffs senior Institution management in their interactions with government officials, including briefing papers and correspondence. OGR develops and executes strategies for the enactment of legislation requested by the Regents, and monitors the many other government actions that affect the Smithsonian. OGR participates in the Smithsonian's budget process, including preparation of materials and internal SI decision-making processes.

OGR serves Members of Congress, the Administration, and state and local governments and their staffs by providing informational briefings on the wide range of Smithsonian activities, answering congressional correspondence, notifying members of Smithsonian activities that could be of interest to their constituents, and generally maintaining lines of communication. OGR also organizes tours of Smithsonian facilities and exhibits and manages the Institution's program of loans of collections to government officials. Currently there are almost 300-objects or works of art on loan to over 100 offices in the Administration and Congress.

Unlike the National Park Service, the Fish and Wildlife Service and the Department of the Interior itself, the Smithsonian's Washington presence includes ten museums offering hundreds of programs, events, and exhibits each year, as well as several facilities off the Mall, all of which are of great interest to members and their staffs. The fact that the Smithsonian provides such an enormous amount of public programming, and that the vast majority of these programs are in Washington and not in the field, means that there is a comparatively higher demand for OGR's liaison services. Finally, unlike the Department of Interior, which maintains its own departmental congressional affairs services as well as similar services in divisions such as the National Park Service and the Fish and Wildlife Service, the Smithsonian's government relations function is centralized.

New Financial Management System

Question 7: The Smithsonian Institution plans to develop and implement a new financial management system. What assurances can you provide that the system will meet federal financial accounting requirements, funds control, and financial reporting?

Answer: A key criterion for selecting a commercial financial management software product is that it be compliant with Joint Financial Management

Improvement Program (JFMIP) requirements. JFMIP publishes Federal Financial Management System Requirements series that prescribe the functions that must be performed by systems to capture information for financial statement preparation. The current financial system is not JFMIP compliant. The Smithsonian will ensure that the new software package will meet federal financial accounting, reporting, and funds control requirements.

Question 8: How will the new system improve internal and external accountability?

Answer: The new financial system will be designed to be the only source of information used in the preparation of the annual financial statements and other internal and external financial reports. This will dramatically reduce the opportunity for error and increase the ease with which we can gather, compare and contrast the information. Detailed information will also be more easily available for management reporting requirements, financial planning, and stewardship.

Question 9: What steps will Smithsonian officials take to assure the Committee that the financial data is credible and closely linked to planning, budgeting, and performance measurement processes?

Answer: OMB Circular A-127 defines such a system as "a unified set of financial systems and the financial portions of mixed systems encompassing the software, hardware, personnel, processes (manual and automated), procedures, controls, and data necessary to carry out financial management functions, manage financial operations of the agency, and report on the agency's financial status to central agencies, Congress, and the public. Unified means that the systems are planned for and managed together, operated in an integrated fashion, and linked together electronically in an efficient and effective manner to provide agency-wide financial system support necessary to carry out the agency's mission and support the agency's financial management needs." Due to the integrated nature of the planned system, the Smithsonian will be able to link financial data with budgeting and planning material as well as performance measurement processes. The Secretary continues to emphasize the need to measure performance, and the new system will include ways to track the Institution's performance.

Question 10: What specific steps has the Smithsonian taken to ensure that they not only have the right system but that the price is competitive with other systems of this potential size?

Answer: The Smithsonian completed a market survey of commercial financial and human resource management software products in January 2001. Initial efforts were directed at narrowing the field of potential software products to those that met federal financial management and human resource management functional requirements. Although there are many companies that offer software products and services that support human resource management or financial management functions, there are few that comply with federal financial management and/or human resource management functional requirements. The preferred commercial software product serves the business, academic, and federal market. It is the only software company that advertises its higher education package. This is an important consideration because the Smithsonian environment is closer to a university model than to a manufacturing model for its operating accounts. This package was also the first to penetrate the federal human resource management system market and is the dominant commercial human resources management software product in use by federal agencies.

The cost estimate for commercial software and vendor provided training is derived from a vendor cost proposal. This estimate is 26 percent less than the GSA schedule discounted price. Estimates for development and production equipment and other commercial software are based on commercial financial and human resource management software implementations for similarly sized organizations. Cost estimates for hardware and software are derived from existing Government contracts. System integration and system product assurance cost estimates are derived from a composite of experiences from several organizations and labor rates commonly paid for these types of services. In addition to the purchase of the commercial software product through the GSA Schedule, the following sources will be used to support the project:

System Integration incorporates all costs associated with adapting the commercial software to meet Smithsonian needs and implementing the system, including the time of SI staff and contractors working for the Institution. The Smithsonian plans to acquire system integration services through the Department of Commerce's *Commerce IT Solutions* government-wide contract. This is a competition among 41 pre-qualified companies.

System Product Assurance incorporates all costs associated with quality assurance and independent testing, including the time of SI

staff and contractors working for the Institution. The Smithsonian plans to acquire system product assurance in FY 2002 through a competitive bid process or through a limited competition from an existing Government-wide contract such as the Department of Transportation's *VANITS* contract.

Software Maintenance incorporates all costs associated with enhancing and maintaining software during the operational phase of the life cycle, including SI staff time and contractors working for the Institution. The Smithsonian plans to use the same contractor that provides system integration services to perform system maintenance.

Vendor Support/Training represents all costs associated with training user and technical staff. The Smithsonian plans to rely on vendor provided training.

IT Infrastructure includes all costs associated with operating, maintaining, and evolving the information technology infrastructure, including hardware, system software, and communications. The Smithsonian plans to acquire hardware and software to support development and implementation through the National Aeronautics and Space Administration's *Scientific and Engineering Workstation II (SEWP II)* government-wide contract. The prices for hardware and software are substantially less than list prices and have already been competed. The Smithsonian has not finalized plans for hosting the production system and is considering outsourcing with a commercial Application Service Provider or entering into a cross servicing agreement with another federal agency. The Smithsonian has had preliminary discussions with two Application Service Providers and one federal agency for hosting the financial and human resource management system. The Smithsonian will select the most cost-effective solution for hosting the production system.

Question 11: What assurances does the Committee have that the Smithsonian leadership will ensure that all the Smithsonian museums and entities will use this new system?

Answer: In April 1998, the Smithsonian established the Automated Resource Management Committee to gather ideas for the next generation of administrative systems. The Committee consisted of thirty Smithsonian staff representing a broad spectrum of organizations and administrative functions to help assure that all Smithsonian units interests were considered. In July 1999, the Committee recommended that the Smithsonian implement a

commercially available financial and human resource management software product to support its administrative processes. Smithsonian units understand and embrace the need to modernize our financial and human resource management systems.

To help gain user acceptance and as part of the implementation process, the Smithsonian plans to establish a work group for each software module (for example, *purchasing* is a software module). The work groups will include representation from throughout the Smithsonian and will:

- define and refine functional processes and data requirements for each module
- define module workflow roles, route, and rules
- analyze business process fit with the software package and identify implementation options
- participate in acceptance testing
- develop and deliver end-user training for each module, ensuring that
 - o end users have initial training to support a newly installed module
 - o end users are adequately trained before the module is fully deployed
- participate in module implementation in each Smithsonian unit
 - o serve as change agents, coordinating changes to the work environment brought on by implementation of new business processes.

To help guide the system implementation and help ensure that all Smithsonian units use the new system, the Finance & Administration Management Committee will serve as a steering committee for system implementation. The Committee is composed of senior administrative officers from the major museums, representatives of the Under Secretaries and Director of International Art Museums, the Chief Financial Officer, the General Counsel, and the Chief Technology Officer. The Committee is chaired by the Under Secretary for Finance and Administration.

Facilities Maintenance

Question 12: Since facilities maintenance requirements have been funded to date in the Salaries and Expenses budget, please provide this Committee with the specific amounts spent each year on these requirements after excluding the salaries of the Smithsonian employees, utilities, and other

expenses that are not direct maintenance functions or activities. Please provide these expenditures for the fiscal years 1998 through 2000.

Answer: The table below portrays expenditures for facilities maintenance.

(Dollars in Thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>
Centrally Funded			
Salaries & Benefits	\$10,194	\$10,438	\$11,390
Contracts & Services	2,251	2,562	2,393
Supplies & Materials	1,097	1,509	1,440
Equipment	<u>1,033</u>	<u>942</u>	<u>1,096</u>
Subtotal	14,575	15,451	16,319
Unit Funded	Est. <u>5,000</u>	Est. <u>5,000</u>	<u>5,198</u>
Grand Total	\$19,575	\$20,451	\$21,517

These totals reflect Salaries and Expenses resources budgeted for maintenance centrally in the Office of Physical Plant, and for minor maintenance activities by individual museums, research institutes, and the National Zoological Park.

Report on RR&A Appropriation

Question 13: Since the Congress requested an annual report on the obligations, expenditures, and remaining balances in the R,R &A appropriation by December 1, 2000, what were the major reasons that delayed the submission of this first report until late February 2001?

Answer: While gathering data to compile the report for FY 2000, the Smithsonian encountered inconsistencies in the data. Reconciling the data required additional time to ensure that the report was accurate and appropriately expressed the use of the funds in the Repair, Restoration and Alteration account. As soon as we discovered the problem, we sent a letter to the Subcommittee staff advising them of the reasons for the delay in providing the report.

Preventive Maintenance

Question 14: How was the amount of \$1.9 million for preventive maintenance determined, and what are the validated annual requirements for preventive maintenance, predictive testing and inspections and scheduled programmed maintenance?

Answer: It is clear from our latest assessment of the condition of our buildings that we have not done a very effective job of keeping up with everyday maintenance. At the same time we begin to fix buildings that have fallen into disrepair, we must devote more resources to preventive maintenance, so we do not fall further behind.

Conditions and systems in Smithsonian facilities have been taxed beyond their useful life. Deteriorating interior finishes of buildings and aging mechanical, electrical and plumbing systems are in constant need of maintenance and repair. An effective maintenance program includes regular performance of tasks such as oiling machinery and replacing filters, painting walls and windows, patching roofs, precision balancing and aligning of equipment, monitoring vibration, and detecting electrical contact erosion. Completing these tasks when they are needed prevent premature system deterioration and increased random breakdowns. However, the Institution has fallen behind in completing this work in recent years. Staff now spends almost 80 percent of the time on unscheduled maintenance and repairs, leaving little time for tasks that would keep building systems from breaking down as often. Industry guidelines suggest that an effective maintenance program would allow 60 to 70 percent of the time to be spent on scheduled preventive maintenance and testing to predict future problems, with only 30 to 40 percent spent on reactive, unplanned activities.

The Institution's request for \$1,900,000 in FY 2002 represents the first increment of a total estimated requirement of \$4 million to restore maintenance staffing to a pre-1994 level. In 1993, maintenance staff spent nearly 70 percent of their time on scheduled maintenance, with only 30 percent spent on unscheduled maintenance. Since that time, however, 56 staff in the Office of Physical Plant took advantage of government-wide buyouts. Many of these staff were employed in the utility and craft fields, performing maintenance activities. In addition to increasing maintenance staff with the FY 2002 request, the Institution will begin to transition to a comprehensive maintenance process known in the industry as reliability centered maintenance (RCM). This comprehensive program will study our systems and their desired reliability, perform failure modes and effects analysis, and identify root causes of failure. Through an RCM program, we will maintain our facilities more effectively at lower cost. Reliability centered

maintenance, in use at agencies such as NASA and the National Security Agency, has repaid the initial investment required to implement it within three years. The funding requested for FY 2002 will also allow hiring of up to 37 specialists in utility systems maintenance and other crafts, retraining staff, purchasing advanced technology equipment, and awarding supplementary contracts to perform scheduled maintenance tasks.

Question 15: What are the amounts presently allocated to these maintenance functions on an annual basis?

Answer: The amount presently allocated for maintenance throughout the Institution is approximately \$21.5 million. However, only about 20 percent is spent on predictive and preventive activities and scheduled maintenance or repair. When the Institution completes the transition to a reliability centered maintenance program, and has accomplished capital repair and replacement projects for obsolete and irreparable equipment and machinery, the maintenance program will provide demonstrably more reliable performance at much lower life cycle costs.

Availability of RR&A Information

Question 16: Why does the Smithsonian continue to have difficulties providing information on actual obligations, unobligated balances, and outlays for R,R&A programs and projects?

Answer: The Smithsonian is able to report, at the appropriation level, on actual obligations, unobligated balances and outlays. Reporting at the lower level of detail frequently required has proven to be problematic using the central financial system.

The Office of Facilities Services tracks and reports in detail on obligations and balances for RR&A and other construction projects and activities. This information, contained in the Office of Physical Plant's (OPP) "cuff" records, can be sorted by source of funding, project, building, category of project, contract, etc. The official Smithsonian accounting records track similar information, but reporting at this level of detail is cumbersome, and certain elements of detail (i.e., the location or project information) is not available for obligations created prior to FY 1998.

OPP keeps its records reconciled with the official records, to ensure the accuracy and reliability of their information for reporting purposes. The Office of the Comptroller is now working on a more efficient methodology for

capturing and reporting on actual outlays or expenditures at the same level of detail.

Question 17: The Committee has a legitimate need for this information. How do you plan to provide this information, on a timely basis, until a new accounting system is operational?

Answer: The Smithsonian recognizes its obligation to provide reports to Congress as sufficiently detailed as necessary to meet the Committee's information needs. As we have noted, the Smithsonian is able to report, at the appropriation level, on actual obligations, unobligated balances and outlays. The difficulty has been reporting at the lower level of detail frequently required. The Office of the Comptroller is now working on a more efficient methodology for capturing and reporting on actual outlays or expenditures at all levels of detail.

Contracting Facilities Operations and Maintenance

Question 18: Has the Smithsonian made a cost analysis comparison of conducting the facilities operations and maintenance functions by contract as compared to the in-house work force? If one has been conducted, a copy of this analysis is requested. If it has not been done, do you think there is any merit to undertaking such a review?

Answer: The Institution will soon conduct a comprehensive analysis of performing maintenance functions by contract as compared to the in-house work force. However, certain services have been evaluated on a case-by-case basis, and services have been contracted where it was determined to be a more cost efficient or effective means of accomplishing the work. For example: the Smithsonian currently contracts for elevator and escalator maintenance and repair services; automatic, fire and roll-up door maintenance and repair services; water treatment; and automated building control system maintenance. Contract maintenance for the entire Smithsonian would appear feasible based on comparable industry practice. If we determine that it would be more economical and effective, we will advise you as we proceed.

Smithsonian Planning

Question 19: What planning processes are in place and utilized within the Institution?

Answer: The Smithsonian has just completed a new strategic plan that reflects the Secretary's overarching goals for the Institution as mapped out in his vision statement, "The First Decade's Work." This plan will be transmitted to Congress shortly. Simultaneously, the Institution is preparing its first annual performance plan under this new strategic plan that will be implemented during fiscal year 2002.

A parallel Institution-wide planning project is underway to develop performance measurements. The aim of this project is to determine meaningful ways of measuring museum-related accomplishments and outcomes, and thereby assess the degree to which the Smithsonian realizes the goals and objectives in its annual performance plan and in its overarching strategic plan. During the second quarter of fiscal year 2001, more than 140 staff participated in grassroots-level discussion groups to brainstorm about what performance measurements make sense for measuring and reporting on the Smithsonian's wide scope of activities. Areas for which performance measurements will be crafted include exhibits, education and outreach, collections, and research, as well as the administrative functions of finance, facilities management, human resources, and information technology. Implementation will begin during the summer with training phases on how to track outcomes using the performance measures, with full implementation of these sets of measures at the start of fiscal year 2002. That year will effectively become the Smithsonian's baseline year for tracking results against the performance plan and the new strategic plan.

Question 20: How are the Secretary's overall goals and objectives linked to the individual units' goals and objectives?

Answer: The Institution's new strategic plan contains the overarching goals and objectives for the Institution, drawing on the Secretary's vision statement and the goals that the Board of Regents has endorsed. This plan is the basis for annual performance plans that specify the action steps and programs to be carried out each year in order to meet the strategic goals and the Institution's mission. Performance measures will assess at the unit level, as well as at the institutional level, how programmatic results and outcomes achieved the annual performance objectives of each unit and, on an aggregated scale, the Institution as a whole. The performance measurement system that we are beginning to develop and will implement beginning in fiscal year 2002 will be the primary mechanism for assessing how successfully units are realizing the Smithsonian's strategic goals.

Merger of Capital Accounts

Question 21: How has the merging of the "Construction and Improvements" account and the "Repair and Restoration of Buildings" account for the National Zoological Park with the "Repair, Restoration and Alterations" account benefited the Smithsonian Institution to date?

Answer: As originally envisioned, merging the National Zoological Park's repair needs into the RR&A account has allowed the Institution to present a more comprehensive picture of the Smithsonian's total repair and restoration need. Planning and budgeting for future requirements now incorporates the Zoo's priorities, allowing better integrated decisions about repairs among all Smithsonian facilities. As we continue in this manner, we will refine our prioritization to assure a balanced and effective use of appropriated funds.

Question 22: What additional benefits are expected, if any? Please address program and project management activities as well as the budgeting and financial management activities.

Answer: While planning and budgeting has improved with the consolidation of the accounts, the Institution is currently managing the National Zoological Park's repair funds separately, although in a parallel fashion to those managed by the Office of Facilities Services. The Institution plans to establish more integrated management of the entire RR&A program, in order to gain more uniformity and flexibility in execution of the program. Among the benefits we expect are: improved financial management and reporting on all aspects of the RR&A program, and an integrated database of information on the condition of all facilities that will allow more consistent assessment of priorities and application of funding to complete the most urgent work throughout the Institution.

Question 23: If this merger has resulted in significant problems or issues, also address these in detail.

Answer: Initial problems encountered were related to the Smithsonian's accounting software and also to a programming error that combined the Zoo's repair funds with those managed by the Office of Facilities Services before the management structures were in place to deal with consolidated funds management. The financial records for the Zoo's repair program were combined with those managed by the Office of Facilities Services, which made it very difficult to track the status and reconcile the financial data on projects throughout the Institution. This error, which contributed to the

difficulty we had this past fall in providing detailed information on execution of the FY 2000 RR&A program, has now been corrected.

Question 24: From the Committee's standpoint, information requested has not been any more forthcoming than before the account merger, how do you explain this?

Answer: The reporting problem is related to the programming error that combined financial records for the Zoo's repair program with those managed by the Office of Facilities Services, although program and project management remain separate operations for the Zoo. Reconciliation and reporting were made difficult by this error, which has since been corrected. Also, the Institution's present financial system cannot report in the detail often requested by the Subcommittee other than for the current year.

Smithsonian Business Ventures

Question 25: What are the key challenges on the commercial or business side of the Institution and how are these being addressed?

Answer: The key challenge facing Smithsonian Business Ventures (SBV) is maintaining the contribution of Smithsonian Magazine, through advertising and subscription sales, in light of the general economic downturn. To increase consumer advertising in the Magazine, a new Publisher has been hired to revitalize the marketing and sales efforts; and an Institution-wide initiative is underway to maximize membership development efforts to the 100 million annual visitors to Smithsonian Museums and web sites.

SBV has developed a five-year goal to reduce dependency on Magazine earnings by doubling sales on the Mall from Museum stores, restaurants, and IMAX Theaters, through improved management and merchandising, as well as expansion of retail space. In addition, new revenue streams have been developed from such programs as flight simulators at the National Air and Space Museum, which will enhance the visitors' experience of the Museum's theme; and the SmithsonianStore.com Internet shopping site, which will make collections-related merchandise more accessible to the American people, even if they are unable to visit the Mall.

Backlog of Repairs

Question 26: In testimony last year on the fiscal year 2001 budget request, we were advised that the backlog of repairs, restoration and renovations ranged from \$250 million to over \$500 million. In this year's fiscal year 2002 request, the Committee understands that the estimate is in excess of \$1 billion. How was the \$1 billion estimate derived, and is it anymore reliable than the prior year backlog estimates given the Committee by the Smithsonian?

Answer: The Institution recognizes that its facilities are not in the condition necessary to meet the expectations of the American public, or to provide a safe and healthy environment for staff, visitors, animals and collections. We are in the process of reevaluating requirements to restore the buildings to their original functional purpose and to meet current life safety, health, and accessibility codes. In addition, the Institution intends to complete a comprehensive master plan for all facilities in order to establish a baseline for future funding requirements.

We have a current working estimate that is based upon project managers' approximation of scope of work, a predictive budget model, condition assessments, preliminary design documents for some of the projects and near final drawings in a few cases and reflects the best information currently available. However, we have not made this estimate public as yet. The Smithsonian's estimate is a compilation, as noted above, across the full spectrum of the hundreds of projects required to revitalize the Institution, but is not the result of precise, professional architect-engineer calculations on a project-by-project basis. As our predictive tools improve, our cost estimates will be more precise.

The Smithsonian is determined to achieve credibility in this and all areas of facility project management by installing structure, formality, and discipline to our project management system under the direction of our new Director of Facilities Engineering and Operations. In the future, cost discussions of outyear program content and project objectives will be limited to ranges of potential costs until requirements documents are prepared, scopes of work stabilized, and designs matured to at least 35% for projects for which we request appropriations. During that period of project development activity our focus will be "design to scope" while keeping a close eye on affordability. At the time we submit projects for funding we will lock the cost estimate, set the construction cost baseline, and the remainder of the engineering effort will be focused on "design to budget" to assure program integrity and is neither over or under programmed.

Allocation of Funds

Question 27: What are the major factors and rationale that govern budgetary allocations to individual units?

Answer: Budget allocations to individual units within the Smithsonian have been made mostly on the basis of historical patterns of spending, with incremental adjustments due to such factors as pay raises. Exceptions to this general rule have been made in the case of special initiatives or units with new facilities in start up mode, where increases for these specific needs have been identified. Secretary Small intends to change these patterns and move funds within units to the Institution's highest priorities such as strengthening information technology and management systems and science centers of excellence.

Philanthropic Contributions

Question 28: Philanthropic contributions to the Smithsonian have increased in recent years. If they plateau and/or decline due to the economy or other factors, how will the Smithsonian deal with this problem?

Answer: If philanthropic contributions plateau or decline, the Institution will have to limit new starts proposed to be funded by these gifts, and will have to extend activities identified for such funding over longer periods of time.

National Air and Space Museum Udvar-Hazy Center

Question 29: In last year's testimony before this Committee, the total estimated cost for the design and construction of the Udvar-Hazy Center at Dulles was \$173 million. It is our understanding that these cost estimates have increased to \$253.5 million. What are the specific factors and elements of the project that caused the increase and what is the impact to the completion schedule?

Answer: The \$172.9 million estimate provided to the Committee included \$19.8 million in construction and design costs and \$153.1 million for construction costs. The \$172.9 million was based on our architect's best estimates at the time and did not incorporate interest costs.

Based on the actual contract bids received by the Smithsonian, these costs have been adjusted by \$6.8 million for construction management and design costs; \$44.8 million in construction-related cost increases; \$13 million to

add four additional bays to the Air Transportation hangar; and, \$16 million in interest costs of a bridge loan.

The increase in construction costs is attributable to increased labor costs in the Northern Virginia region; increased costs for steel and related finishes; increased costs associated with phasing the building; and, an increase in contingency reserves related to meeting the new project. To reduce the cost of future expansions, the Smithsonian decided to return to the initial design and incorporate the four extra bays as an add alternate to the building.

The Hazy Center is still on schedule and will open on December 17, 2003, the centennial of powered flight, with the Air Transportation hangar, classrooms, large-format theater, observation tower, food service and museum retail spaces open to the public. The Space hangar, restoration, archival and restoration facilities will be added as fundraising progresses.

Question 30: The Smithsonian has stated all along that they will raise the entire amount needed for construction of the new Dulles facility. Is this still the case?

Answer: Yes. It is the Smithsonian's intent to raise the entire amount needed for construction of the new Dulles facility. Fundraising and construction phases are timed to ensure that sufficient funds have been raised to support specific construction phases.

Scientific Research

Question 31: The Secretary has stated that scientific research will be refocused. Specifically how will it be refocused?

Answer: Currently the science organizational structure at the Smithsonian reflects, for the most part, facility and locality based operations and research; for example, the National Museum of Natural History on the Mall; the Smithsonian Environmental Research Center at Edgewater, Maryland; the Smithsonian Astrophysical Observatory at Cambridge, Massachusetts; and the Smithsonian Tropical Research Institute in Panama.

The proposed reorganization plan, to be shared with the Regents at their meeting in May, will suggest pulling together similar science-related research activities across the Institution under unified direction. The proposal is expected to lead to increased cooperation among scientists and result in enhanced capacities to address research subjects that join the Smithsonian

to a national and international framework of research priorities. Raising the profile of the Institution's science programs to a higher level and strengthening key areas in which we have an established reputation should also place the Smithsonian more strategically to increase external support.

The details of the proposed reorganization plan will be presented to the Committee in early May once the Regents have met.

Question 32: What are the specific cost, human resource, facilities and organizational implications of this proposed reorganization and over what period of time?

Answer: The Institution is not seeking additional resources to implement the reorganization. The current proposed plan is to create units based on key themes in science, which will enable a higher level of private support and allow the Institution to communicate more effectively to the public and the nation the importance and quality of the Smithsonian's scientific research. The specific details of the final plan will be shared with the Committee once it has been approved by the Regents.

Question 33: Will this refocus result in any short term savings in either program money or FTE levels?

Answer: No. If the science reorganization is approved as currently envisioned, and new leadership is put in place to direct research in the identified areas of excellence, funds will be used to strengthen those research areas as well as to enhance the public science displays at the National Museum of Natural History and the Zoo. Proposals from the science directors will be reviewed to determine the most critical requirements and, if necessary, a reprogramming request will be prepared based on the priorities identified.

Museum Support Center

Question 34: The fiscal year budget includes a request for authorization and approval to use \$16.4 million of Museum Support Center equipment funds held by GSA to construct Pod #5 at the Support Center. Why is this included in the fiscal year 2002 budget request as opposed to a formal reprogramming request that could have been submitted any time this year?

Answer: The request to use existing funds to construct a fifth pod at the Museum Support Center was originally considered for inclusion in the FY 2002 budget. It is not included in the FY 2002 budget, but is currently under discussion for possible submission as a reprogramming request. In any event, we would expect to seek authorization for the construction.

Question 35: Why are these funds available and does this amount complete the Pod?

Answer: These funds are available because their original intended use was to complete the collections storage system in Pod #3, a free-standing steel structure housing biological collections stored in alcohol. The design process for this work revealed a number of problems and resulted in the proposal to build Pod #5 in lieu of completing the storage structure in Pod #3. In Pod #3, the steel structure would allow almost no flexibility in the storage layout. Low ceiling heights between the levels of the steel structure would require that tanks containing large specimens be placed in pits dug out beneath the floor slab so that these tanks could be fully accessed. There are presently no internal firewalls in the Pod. Vertical fire divisions between the existing and new storage structures can be installed, but horizontal fire divisions would be ineffective due to the open steel structure. Low ceiling heights would present a problem for staff working with opened storage tasks as alcohol vapors from the tanks would rise to unacceptable levels, and there is no space for the installation of proper ventilation equipment to dissipate the vapors. Caring for the collections presently in the Pod during construction would be costly. Collections cannot remain in the space under construction for physical and fire safety reasons. They must remain in an air-conditioned environment. Therefore, the new storage structure would be built in two phases. The collections would have to be moved three times within the Pod, once during each of the two construction phases and one final time after construction. Given these problems and an estimated construction cost of \$10.8 million to complete Pod #3, it was decided to propose Pod #5 to properly address the storage requirements for these collections.

The amount of \$16.4 million would complete the construction of Pod 5 and provide for the collections storage equipment needed to house the collections presently in Pod 3. An additional amount of \$2.225 million would be needed to complete the collections storage equipment in Pod 5 to house alcohol collections now located in the Natural History Building in rooms that do not meet present fire codes and that do not lend themselves to cost efficient renovation to meet the codes.

Question 36: Are there any operational or staffing expectations for this Pod and, if so, are they covered in the fiscal year 2002 budget request?

Answer: There are no staffing expectations and the Institution does not anticipate any significant operational increase other than additional utility costs once construction of Pod 5 is complete. There are no costs related to Pod 5 included the FY 2002 budget request.

Question 37: If additional funding is not available for this purpose either in the fiscal year 2002 budget or the allocation, what do you recommend that the Committee not fund in order to provide for this need?

Answer: No funds for construction of Pod 5 are requested in FY 2002.

Victor Building

Question 38: What is the current status of the Victor Building uses and costs? Have there been any budget savings from eliminating rental space?

Answer: The shell of the building was substantially completed last summer and the Institution has been finishing the interior since then. As each floor is complete, Smithsonian staff move into the building. Currently, all but the second floor are substantially complete and occupied. The second floor should be complete and occupied by the end of May. The Smithsonian is currently seeking tenants for the retail space on the street level. The Institution's annual costs continue to be consistent with the original budget projections.

Appropriated funding for rent payments for space previously occupied by employees who have moved to the Victor Building is, as Congress provided, being used for rent payments to the Smithsonian's trust funds for the space now occupied in the Victor Building.

Workforce

Question 39: At the request of the Smithsonian, the Congress provided workforce buyouts in fiscal year 1994-1995 and fiscal year 1996/1997 at a considerable cost to the taxpayer. Based on your estimates for fiscal year 2000 and 2001, it appears that you are in the process of adding 61 new positions. Have you filled these positions? What are the grade levels? Do you intend to continue to expand the workforce? How many new positions

are on the federal side and the trust fund side? Will there be any attempt in the near future to consider streamlining to eliminate excessive levels of management?

Answer: The additional positions being added in FY 2001 are the 19 approved by Congress for the National Air and Space Museum (NASM), for preparation of the collections for the move to the Udvar-Hazy Center at Dulles; and 22 positions for the National Museum of the American Indian (NMAI) for preparation for the opening of the Mall Museum, and for additional staffing at the Cultural Resources Center at Suitland. The grade levels of these new positions are as follows: at NMAI, two grade 2's, one grade 3, one grade 4, four grade 7's, two grade 9's, four grade 11's, seven grade 12's and one grade 13; at NASM, fourteen grade 9's, four grade 11's, and one grade 13. Of these new positions provided in FY 2001, 5 have been filled to date.

The FY 2002 request includes additional positions for NASM (10), for the Institution's outreach initiative (4), and for the proposed information and technology systems (9). There are also 37 additional positions included in the Repair, Restoration and Alteration of Facilities (RR&A) account for preventive maintenance. These additional positions are more than offset by the proposed reduction of 180 positions throughout the Institution.

On the trust side, the Institution has added 49 new positions in FY 2001. As part of its continuing review of operations, the Smithsonian will look at appropriate levels of management, as well as many other issues that might result in further savings.

We are considering requesting targeted buyout authority for FY 2001 and FY 2002 in order to provide incentives to those employees working in units proposed for elimination in the FY 2002 budget request.

Question 40: The Smithsonian seems to have a large number of senior level positions relative to the overall number of employees and corresponding appropriated budget. For example, the U.S. Geological Survey has 9,930 employees with a budget of \$862 million including 34 senior level (executive positions). USGS employees, like the Smithsonian, tend to be highly technical and educated. How many of your senior level positions are research scientists? Why does the Smithsonian need so many senior level positions to carry out its mission?

Answer:

	Senior Level Positions (as of 4/7/01)		
	<u>Trust</u>	<u>Federal</u>	<u>Grand Total</u>
Research*	11	56	67
Non Research**	<u>79</u>	<u>38</u>	<u>119</u>
Total	90	94	186

*Based on Functional Classification Code

**Excludes Business Ventures

The Smithsonian has 16 museums and art galleries, the National Zoological Park, and several research institutes. These museums and research institutes are headed by people with unique specialties who are leaders in their field. In addition there are program and support offices such as the Smithsonian Traveling Exhibition Service and Smithsonian Libraries as well as central administrative offices. All of these units require senior level leadership. Because of the breadth of the programs in the museums, institutes, and program and support units, most of the directors have senior level deputies as well.

**JOHN F. KENNEDY
CENTER**

**TESTIMONY OF
MICHAEL M. KAISER, PRESIDENT
THE JOHN F. KENNEDY CENTER FOR THE PERFORMING ARTS
BEFORE THE HOUSE APPROPRIATIONS SUBCOMMITTEE ON INTERIOR AND
RELATED AGENCIES**

APRIL 13, 2001

INTRODUCTION

On behalf of the Kennedy Center Board of Trustees, I am pleased to submit to the House Appropriations Subcommittee on Interior the fiscal year 2002 budget for appropriated funds for the John F. Kennedy Center for the Performing Arts, the nation's center for the performing arts and a living presidential memorial. The Center's fiscal year 2002 budget justification includes \$15.0 million for facility operations and maintenance and \$19.0 million for capital repair. The total request of \$34.0 million is level with the Center's fiscal year 2001 appropriation. I appreciate having this opportunity to provide an overview of operations of the John F. Kennedy Center for the Performing Arts, an independently administered bureau of the Smithsonian Institution, for this subcommittee.

A national monument, the Kennedy Center is a living memorial to President John F. Kennedy with a mandate to provide leadership in America's performing arts and in performing arts education. The Board fulfills this mandate with a commitment to providing opportunities for all Americans to participate in the excellence and the inspiration inherent in the performing arts.

The Center commissions, produces, and presents diverse performances of the highest artistic standards, and then does something that very few other performing arts centers are able to do -- the Center makes these outstanding performances available to the broadest possible audience through: national touring programs, free and low-cost performances and education activities, and through the World Wide Web. Since April 1999, the Kennedy Center has harnessed the power of the Internet with live broadcasts daily at 6:00 PM EST from the Millennium Stage, making the performing arts accessible to people worldwide.

Although the monument building is located in Washington, the Center is a vital presence in communities throughout the United States through its tours of performing companies, grant programs, and educational programs, and through its electronic "stages," radio, television and the World Wide Web. Most people outside of Washington know the Kennedy Center through our annual Kennedy Center Honors broadcasts. We are deeply proud of these broadcasts, but they are just the tip of the iceberg here. One night a year the Kennedy Center Honors lights up the living rooms around the country, but every single day the Kennedy Center lights up classrooms and community theaters or sends

young musicians to a chance-of-a-lifetime to work with an orchestra, or gives a young playwright the chance to see his or her first work performed on a stage. The Kennedy Center, indeed, extends far beyond its marble walls.

HISTORY

The Kennedy Center originated with the administration of President Dwight D. Eisenhower who envisioned a national center for the performing arts in the nation's capital. In 1958, President Eisenhower signed into law the bipartisan legislation known as the National Cultural Center Act (P.L. 85-874), which established the Center as an independently administered bureau of the Smithsonian. Following the death of President John F. Kennedy, the Congress in early 1964 named the National Cultural Center after the late president. The Center was established as a living memorial with a mandate to the Board to present performing arts programming and to be a leader in the arts in education.

The original act of 1958 charged the Board of Trustees with responsibility for constructing and administering the nation's center for the performing arts. The Kennedy Center was constructed between 1964 and 1971 with a combination of private contributions of \$34.5 million, Federal matching funds of \$23.0 million, and \$20.4 million in long-term revenue bonds held by the U.S. Department of Treasury. Dozens of foreign countries gave gifts of building materials, chandeliers, artwork and artifacts.

The facility opened to an eager public in September 1971, with three operating theaters. The public visited the monument in numbers that exceeded all expectations. In 1972, Congress authorized the National Park Service to provide maintenance, security, and other services necessary to maintain the public building. Friends of the Kennedy Center volunteers provided visitor and interpretive services, as they do to this day.

Between fiscal year 1972 and fiscal year 1995, the National Park Service received direct annual appropriations for the operations and maintenance and repair of the presidential monument.

By 1993, the building showed significant signs of deterioration. The Board of Trustees, with the support of the Department of Interior, sought a more efficient approach to management of the building, with one entity responsible for both tending to the physical plant and for the activities of the living memorial. In 1994, with bipartisan support from Congress and the administration, legislation was enacted (P. L. 103-279), which authorized the transfer to the Board of all appropriated fund responsibilities, as well as 55 full-time equivalent National Park Service employees, and all unexpended balances of funds previously appropriated to the National Park Service. The transfer of authority was effective October 1, 1994.

Since the transfer, the Board has prepared, with regular updates, a Comprehensive Building Plan, which establishes a program to bring the monument up to current life safety and accessibility standards by the year 2009.

We have already accomplished much, with completion of parking garage renovations, the replacement of the roof and the roof terrace and antiquated HVAC systems, and renovation of the Concert Hall. During this current phase of renovation, the major focus of our building rehabilitation program is the Center Block of the building.

BOARD OF TRUSTEES

The Center's originating statute (20 U.S.C. 76h) established a Board of Trustees to maintain and administer the Center. Since 1996, the Chairman of the Board has been James A. Johnson. I, as president, direct the day-to-day operations of the Center. Kenneth Duberstein and Alma Powell are Vice Chairmen of the Board.

The Kennedy Center Board of Trustees consists of 49 members: Thirty citizen members serving six-year terms are appointed by the President of the United States; nine ex-officio members represent local and Federal government agencies; and ten members represent the legislative branch, five each from the Senate and House of Representatives. A list of current Board members is submitted with this statement.

As required by the Kennedy Center Act (20 U.S.C. 76l), the Board reports annually to the U.S. Congress on both its appropriated fund and trust fund operations. In addition, the Board reports annually to the Secretary of Education on its national performing arts in education activities.

KENNEDY CENTER BUILDING

The monument from which the Board operates and serves the visiting public and the scope of the Board's operations are immense. The building is open to the public 365 days each year, from 10:00 a.m. until midnight. Of the 4.5 million visitors annually, as many as 700,000 take advantage of the Kennedy Center's free shuttle bus service to and from METRO.

The building consists of 1.5 million square feet of usable floor space and is constructed on 17 acres of land. It contains six operating theaters and two stages for free performances in the Grand Foyer, three public restaurant facilities, nine special event rooms, five public galleries, halls and foyers, 11 rehearsal rooms for rehearsals and education programs. The Center's Facility Management staff maintains complex heating and cooling systems, 23 elevators and six sets of escalators, 133 restrooms, more than 2,000 doors, 13 mechanical rooms, 108 crystal chandeliers, and 200 valuable paintings, sculptures, tapestries and textiles. Support systems in the building often operate at capacity in excess of 18 hours a day, seven days a week, 365 days a year.

SOURCES OF INCOME

Since the start of fiscal year 1995, the Board has been responsible for all appropriated and

non-appropriated fund activities at the Center. The annual operating budget of the Center now is approximately \$133 million.

Performing arts programming and administration represent approximately 74 percent of the Center's total operating budget. These non-appropriated fund activities are supported by ticket sales (34%); other earned income (28%); and grants and contributions (38%) (using fiscal year 1999 projections). In fiscal year 2000, the Center raised approximately \$28 million in private contributions to support non-appropriated fund operations and maintains an endowment of approximately \$100 million, including gifts, pledges and accumulated earnings.

The Center's success is based on a public/private partnership: the government provides funding for the care of the monument building -- a federal asset, and the Center raises all the funding required for the artistic and educational programming of the living memorial. The annual appropriation of approximately \$34 million is made to the Board of Trustees for the operation, maintenance, and capital repair of the building. Appropriated funds are used only for basic operational expenses such as utilities, housekeeping, security, minor repair and maintenance, and capital repair. It is important to note that the Center's authorizing statute specifically prohibits the use of appropriated funds for direct expenses incurred in the production of performing arts attractions.

USE OF APPROPRIATED FUNDS

Federal funds appropriated annually to the Kennedy Center comprise two separate accounts: (1) operations and maintenance, and (2) capital repair and restoration. The appropriation for the operations and maintenance account for fiscal year 2001 was \$13,969,000, reflecting a .22 percent across-the-board rescission. The capital repair appropriation was \$19,956,000, reflecting the same rescission from the \$20 million authorized limit established in P.L. 105-226 to allow the Board to continue with the Comprehensive Building Plan to bring the facility into compliance with fire and life safety codes as well as Americans with Disabilities Act (ADA) requirements while maintaining the functionality of the structure.

The Federal appropriations received in the current fiscal year cover basic operational expenses of the federal building, including utilities, housekeeping, minor and emergency repair, maintenance, security, and interpretive services. A portion of these annual operating funds is allocated to reducing a significant minor repair backlog that accumulated over many years, the cost of which remains estimated at \$9.5 million. Appropriated funds are also expended for capital repair and replacement of the Center's antiquated building systems. Under our capital repair program, we are bringing the building, designed in the mid-1960's, up to current accessibility and fire and life safety codes while maintaining the functionality of the facility.

Since assuming control of building operations, maintenance, and capital repairs, the Board has implemented several measures to streamline operations and increase efficiencies in all aspects of appropriated fund management. The Board retains the services of the General

Services Administration for key personnel and financial management services, engages the services of other agencies such as the Army Corps of Engineers and the National Park Service to assist in performing various procurement functions, and employs an in-house contracting officer to supervise and facilitate contracting for goods and services. Policies such as these have proven successful in keeping the Center's overhead as low as possible.

The Board's management of the capital repair account has yielded the successful completion of many capital repair projects. One of the Center's first successes was the installation of a new cooling system. When it opened in 1971, the Kennedy Center was the world's largest all-electric facility and until 1997 was still using its original chillers that had become inefficient to the point of obsolescence. Other successful projects include the complete replacement of the main roof and roof terrace materials -- which has resulted in a greatly improved roof drainage system, and accessibility and fire safety rehabilitation work in the Concert Hall. Both of these projects were on time and on budget. Opening in September 1997, the fully renovated Concert Hall offers patrons with disabilities an accessible hall with wheelchair accommodations in all sections of the hall. Egress for all patrons has been improved, and appropriate fire safety systems are in place.

FISCAL YEAR 2002 OPERATIONS AND MAINTENANCE PROGRAM

The Center's request for fiscal year 2002 funding for the operations and maintenance account totals \$15 million. This amount is consistent with the Kennedy Center's long-range operational plans to adequately maintain the structure to avoid increased deferred maintenance such as that which accumulated from 1971 through 1994. This amount is necessary to address a portion of the backlog of minor repair work items facing the Center while maintaining building operations and maintenance at current levels. In addition to minor repair needs, the operations and maintenance account also covers utilities and basic operations and provides for a proactive routine maintenance program which, over time, will alleviate the compounding backlog of minor building repairs. A decrease in the budgeted request will adversely affect the Center's program to reduce the accumulated minor repair backlog, because virtually all other operation and maintenance expenses such as electricity, water and sewer, security and life safety and building personnel costs are not discretionary. A decrease in minor repair expenditures will increase future operating and capital repair costs.

The operations and maintenance account funds personnel compensation and benefits for 46 full-time equivalent (FTE) personnel. This FTE level is decreased by three from the fiscal year 2001 level. The operations and maintenance request reflects a 3.5 percent federal pay-raise adjustment.

FISCAL YEAR 2002 CAPITAL REPAIR PROGRAM

The Center's request for fiscal year 2002 funding for the capital repair program is \$19 million. This amount will allow the Center to continue with Phase 2 of its Comprehensive Building Plan which includes modifications to the Center Block of the building to bring the

facility into compliance with current Americans with Disabilities Act (ADA) requirements and fire and life safety codes.

The capital repair account funds personnel compensation and benefits for seven full-time equivalent (FTE) personnel. The capital repair request reflects a 3.5 percent federal pay-raise adjustment.

GENERAL ACCOUNTING OFFICE (GAO) AUDIT REQUIREMENT

Under P.L. 103-279, the 1994 Amendments to the Kennedy Center Act, the GAO was required to audit the appropriated fund accounts of the Kennedy Center every three years. GAO concluded its first audit since the Kennedy Center assumed responsibility for operations and maintenance and capital repair of the building. After reviewing the accounts and procedures, GAO reported no problems. Instead, GAO recommended that their three-year audit requirement be terminated because it duplicates the annual audit by the Kennedy Center's certified public accountant, whose report is submitted to the Congress.

KENNEDY CENTER ARTISTIC PROGRAMMING

Performance and education are our primary goals at the Center. More than 3,200 performances are presented annually. Since it opened in 1971, the Kennedy Center has:

- produced and presented works by many of America's most talented playwrights, composers and choreographers;
- participated in strengthening musical theater through producing and touring revivals of great American musicals and developing new works;
- diversified its programming through partnerships with local and national performing arts and educational institutions; and
- entered a new and exciting phase in orchestral music with Leonard Slatkin as the artistic director of the National Symphony Orchestra, and in jazz under the direction of Dr. Billy Taylor.

The Kennedy Center has a special responsibility to support, present, and produce American artists and places special emphasis on American-bred forms like jazz, musical theater, modern dance, and on the range of cultural influences that are American. The Kennedy Center's commitment to developing new works and nurturing innovative artists is also reflected in its theatrical productions and commissions, which range from blockbuster revivals of classic American musicals to new works for youth and family audiences. (The Center's co-production of *Titanic* received the 1997 Tony Award for Best Musical.) The Kennedy Center Fund for New American Plays, now in its 15th year, has helped develop more than 70 works, including three Pulitzer Prize winners.

The Kennedy Center continues to be a national leader in the creation and preservation of American dance. During the upcoming season, America Dancing will present the greatest modern dance, dancers and dance choreographers in the world. Already we have

presented new works by David Parsons, Pilobolus, Paul Taylor and Bill T. Jones.

The Kennedy Center's artistic affiliate, the National Symphony Orchestra, last month completed its ninth American Residency program. The NSO traveled to Oklahoma for a 10-day extended residency featuring public and in-school performances, master classes for young musicians, workshops for teachers, and cultural exchanges. In past years, the NSO has conducted residencies in Alabama, Alaska, Arizona, Louisiana, Maine, Mississippi, Montana, Vermont and Wyoming, bringing the orchestra to states not served by major symphony orchestras. During last year's residency in Vermont, tens of thousands of people, from pre-schoolers to senior citizens, participated in about 140 performances and educational events. From each of the residency states, a local composer is commissioned to create a work for the NSO, a teacher is chosen for the intensive Kennedy Center/NSO Teaching Fellowship at the Center, and several young music students are chosen to travel to the Center for the NSO's month-long Summer Music Institute.

KENNEDY CENTER EDUCATION PROGRAMMING

As mandated in the Kennedy Center Act, the Center has played a leadership role in making the arts an integral part of the curriculum of America's schools. For more than two decades, the Kennedy Center has shown through its local and nationwide arts education programs that the inclusion of the performing arts in a broad-based curriculum dramatically improves the quality of a child's educational experience. It has done so through its professional development programs for teachers; its performances for young people and families; its programs that help arts centers and their local school districts work together; its professional training programs for young musicians, actors, and dancers; its residency programs; and much more. All told, the Kennedy Center's programs in arts education reach more than five million people across the United States each year.

The Kennedy Center is working with partners across the nation to improve the quality of education through the inclusion of the arts. The arts teach discipline, inspire creativity, and help young people to set and reach goals. The arts help good teachers teach better and makes participating schools' exciting, challenging places for children--places where they are encouraged to explore, to think creatively, and to reach their full potential.

The leadership of the Kennedy Center in education is in evidence in communities across the country. Just a very few programs include:

Kennedy Center Partners in Education

84 participating teams representing 43 states and the District of Columbia (In February 2001, the Center hosted its annual meeting in Washington, D.C. Team members attended workshops and activities to further strengthen their community partnerships).

Teacher Development Workshops

During the 1999-2000 school year, the Kennedy Center Performing Arts Centers and Schools teams served more than 10,000 teachers with 312 professional development workshops.

Kennedy Center IMAGINATION CELEBRATION On Tour

The two Imagination Celebration® on Tour productions were Alexander and the Terrible, Horrible, No Good, Very Bad Day and My Lord, What A Morning: The Marian Anderson Story. The touring productions went on the road for a total of 32 weeks and presented 175 performances in 52 cities, 21 states and the District of Columbia.

Kennedy Center Alliance for Arts Education Network

45 independent state Alliance organizations are operating in partnership with the Kennedy Center for the inclusion of the arts in every child's education.

Kennedy Center American College Theater Festival

participation annually by more than 400,000 college students representing more than 600 colleges and universities in 48 states and the District of Columbia.

National Symphony Orchestra

During its 2001 American Residency in Oklahoma, the NSO participated in 140 events in 10 days. This successful residency follows those in Alabama, Alaska, Arizona, Louisiana, Maine, Mississippi, Montana, Vermont and Wyoming.

Summer Music Institute

Since 1993, 400 high school and college students from 36 states and the District of Columbia have participated in this program that offers young musicians master classes, ensemble training and performance opportunities in Washington, D.C.

One of the most exciting things about the Center's education activities is that they transcend both the Center itself and the classroom. Under a cooperative agreement with the National Endowment for the Arts and the U.S. Department of Education, the Kennedy Center for more than five years has been home to ARTSEGE, an interactive communications network designed to provide practical, useful and easily-accessible information important to teachers, artists, parents, and anyone concerned with the inclusion of the arts in the education of young people.

More than 10,000 visits per day are received on ARTSEGE. ARTSEGE can be accessed through the Kennedy Center's Home Page on the World Wide Web. The Center's Home Page provides complete information for patrons and visitors on the Center's artistic and education programming and its status as a living presidential memorial. Patrons can now purchase tickets directly through the Center's Home Page at: <http://kennedy-center.org>.

In addition, a series of live interactive educational programs featuring Kennedy Center artists are broadcast through the Prince William County Public Schools Media Network over educational TV cable channels. More than 400 school districts in 44 states registered for this free distance-learning program.

Part of the vision of the Kennedy Center is to “embody, stimulate, and transmit the values of freedom, creativity, expression, and joy inherent in the performing arts—the opportunity to dream, to risk, to learn, to excel with clear artistic vision.” For 53 million Americans with disabilities, this has the potential of indicating more inclusion in the cultural quality, diversity, and opportunity of life in the United States.

The Kennedy Center’s Office for Accessibility was created in 1991 to oversee the architectural, communications, and program access for patrons and performers with disabilities. The office is instrumental in the Center’s compliance with the 1990 Americans with Disabilities Act, the 1973 Rehabilitation Acts, and other disability related legislation. Going beyond mere compliance, the program institutes real-time closed captioning of live performances and webcasts and the telecasts of the National Symphony Orchestra’s Capitol Concerts; it promotes the use of Universal Design in all renovations and alterations around the Center; and it makes a commitment to providing complete and effective communication and program access to all performances, events and educational programs sponsored by the Center. Program initiatives have received national and international recognition.

PERFORMING ARTS FOR EVERYONE

More than four and a half million visitors pass through the doors to the Kennedy Center each year. Transportation for these visitors is facilitated by *ShowShuttle*, the METRO shuttle service funded by the Kennedy Center Board through trust funds. More than 750,000 riders now use this service. Roughly half of those visitors come to the Center solely to visit the presidential memorial. Almost 30 years after the Center first opened its doors to the public as the sole national monument to the late president, the Board continuously looks for new ways to provide a more engaging and exciting interpretive experience for visitors.

As the national center for the performing arts, the Kennedy Center is committed to bringing quality and diversity to its stages and the Board of Trustees places the highest of priorities on making the arts accessible to all Americans. On March 1, 2001, the Center celebrated the fourth anniversary of the Millennium Stage – where free daily performances take place in the Grand Foyer. Four years ago, the Center launched “*Performing Arts for Everyone*,” a program designed to expand and increase access to the performing arts for local area residents and visitors to the nation’s capital through free daily performances at the Center. Every evening of the year there is a free performance on the Millennium Stage and tickets are never required. With this program, the Center has attracted more than 750,000 persons in the last four years, many of them new to the Kennedy Center, and some of them attending

a live performance for the very first time. The Kennedy Center also brings the Millennium Stage to Capitol Hill during the summer months for free concerts on the Capitol grounds every Tuesday and Thursday at noon. More than 4,000 visitors to the United States Capitol enjoyed last year's concerts provided for with private funds.

Working with Members of Congress, the Center also presented artists and performing groups from all 50 states through the State Days series of free performances on the Millennium Stage.

The Kennedy Center continues its tradition of offering free public events by sponsoring its annual month-long Holiday Celebration that showcases more than 30 local performance groups and attracts more than 20,000 patrons. The annual Kennedy Center Open House will kick off the next season in September with a day of free performances on stages throughout the building. Nearly 40,000 people attend the Center's larger-than-ever free Open House celebration annually.

Since September 1971, the Kennedy Center has conducted a reduced-price ticket program for students, disabled persons, senior citizens over age 65, enlisted military personnel, and others on limited incomes. More than 50,000 individuals per year see performances at half price through this program. The Center has expanded its reduced-price program to offer half-price, day-of-performance tickets to all patrons through TICKETplace, a facility at the Old Post Office on Pennsylvania Avenue.

With more than 3,200 performances in Washington alone, and hundreds of touring performances, workshops, and other activities across the country, the Center's doors are open to everyone. The Kennedy Center is on stage, on line and on television in classrooms across the country. We realize that to be the national center for the performing arts we have an obligation to work throughout the nation, not just in the nation's capital.

CONCLUSION

Recognizing that the challenges are great, the Kennedy Center is enthusiastic about its mission. The Trustees, employees, educators, volunteers, donors and artists associated with the Kennedy Center are committed to the congressional mandate established for this living memorial. We are appreciative of the support in Congress for our programs and for the unique public/private partnership that is the basis for the Center's financial success. I am grateful for the opportunity to submit a statement to the subcommittee and would be pleased to respond to any questions you might have.

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WEDNESDAY, APRIL 4, 2001.

NATIONAL ENDOWMENT FOR THE ARTS

WITNESS

BILL IVEY, CHAIRMAN, NATIONAL ENDOWMENT FOR THE ARTS

OPENING REMARKS

Mr. SKEEN. From this point on, we want to begin the NEA hearing.

Would you like to do your statement?

Mr. IVEY. I would be happy to, Mr. Chairman.

Mr. SKEEN. Let us do that. We will have to go and vote, so let us get you started.

Mr. IVEY. Mr. Chairman, I ask that my prepared remarks be admitted into the record.

Mr. SKEEN. It will be done.

OPENING STATEMENT OF MR. IVEY

Mr. IVEY. Thank you. I want to say what a pleasure it is to talk with the Committee today. I have just a few remarks to emphasize; some points that I think are covered in more detail in the written testimony.

I want to congratulate you, Chairman Skeen, on your chairmanship of this subcommittee. I recently visited New Mexico, had a chance to see a number of very fascinating arts programs in your State, and it is good to be here with you today.

I also want to thank Mr. Dicks and, in absentia, Mr. Obey, for all of their work in helping to secure what was for the NEA its first budget increase since 1992.

I am here today to support the President's request for a budget for the NEA for 2002, of \$105.219 million. I think each of you would agree that the NEA today is a very different agency than it has been at times in the past. The number of nonprofit arts organizations has expanded geometrically over the past couple of decades, and I think the Endowment in trying to serve this constituency has matured in its own reach and its own vision and is oriented in its vision toward citizen service. And I am proud that we can boast, I think today, excellent relations not only with Congress but with the States, with arts groups, and our many supporters all over the country.

We feel that we are a leader in program innovation. We make activist grants today to more people in more places, protecting heritage, engaging arts education youth services. I think each of you has in front of you a copy of our 35th anniversary book, *Legacy of Leadership*, which is what we call our "greatest hits" volume. It is the grants that have had a continuing resonance in the commu-

nities in which they were made over a number of years. And we are very proud of those grants. And each, of course, stands for many hundreds of others that have been made over the years.

I am pleased that the agency engages art and art making in America in many different ways. If you watched the News Hour last night, you saw toward the end of that program Richard Samuel, a glass blower from Seattle, reading one of his favorite poems, reciting his favorite poem. And of course that favorite poem project, carried forward by our former Poet Laureate Robert Pinsky, had its major funding, and the first funding, from the NEA.

We look forward to an American Roots music series that the NEA is funding that will appear on PBS this fall. And we are pleased in a very different way to be able to work with the Washington State Arts Agency, particularly concentrating on Tacoma, in trying to respond to some of the challenges faced by artists and arts organizations as a result of the recent earthquake.

So in many different ways, using many different strategies, the NEA is involved in the arts in America, creating opportunities for people, touring, and festivals.

We have a wonderful program called Continental Harmony which places composers in every State in the Union. We work on arts, art making in public housing and in after-school programs. We convene leaders, conduct research on arts organizations, philanthropic giving, on the status and the health of the jazz field, and work extensively in arts education.

In many ways, we are the only agency of government that gets up every day and thinks about how the arts are doing in this country. So we shine a bright light on excellence, and concentrate on those aspects of America's cultural life that don't do well, that don't survive easily, left to the marketplace alone.

I know members of this Committee are probably more interested in what we are doing with the additional resources that were made available last year than in any other topic I might cover today.

CHALLENGE AMERICA PROGRAM

Our Challenge America program, which was funded at the level of \$7 million in fiscal 2001, is, I think, evolving into a huge success. Of course, 40 percent of our grant-making budget does go to our State arts agency partners, so each State's arts agency was able to receive an additional \$40,000 from Challenge America. And that money will fund programs at the State level that parallel what we are doing here with our direct grants in Challenge America.

Challenge America really works in three areas. One is the continuation of ArtsREACH, trying to get the arts to areas that are underserved. We have expanded ArtsREACH to include, not only the 20 underserved States that we began with, but parts of other States that are underserved. We are targeting Michigan, Florida, California, Wisconsin, Texas, Georgia, Ohio, Illinois, North Carolina and Louisiana for some special attention. It is not only about money, it is about workshops that help applicant organizations learn about the process so we can generate more activity.

The second component of Challenge America is a positive alternative for youth. This is a continuation of our Arts Link program. It connects artists with young people in school and after-school pro-

grams all over the country. And, again, these are fast track, small grants that will turn around very quickly.

Right now we have already received 536 applications from every State in the Union for the first part of the Challenge America program this year, and we are very aggressively stepping up those outreach efforts.

LEADERSHIP INITIATIVES

We also have a couple of important leadership initiatives in which we are working directly with organizations to deliver services all over the country. The most prominent one that I think I will dwell on just for a minute is our partnership with HUD, Housing and Urban Development, that we will use HUD money, some NEA money, and some funds from the National Guild of Community Schools of Art to bring after-school arts instruction, at no charge, to young people who are resident in public housing.

TRENDS

You have a chart in front of you that shows how our client base has changed. I think it is something that we really have to emphasize here today because, if you look at this chart, you can see that from 1997 through thus far into 2001, there are some very significant trends going on. One is that the number of applications has increased every year. Since 1998, the number of grants made has increased every year. But, unfortunately, as we would expect with a relatively flat funding picture, the relative size of each grant, the average size, has gone down. So it is pretty clear that our client base is expanding and there are some additional demands.

Do you want to interrupt me to vote?

Mr. SKEEN. Yes, sir.

Mr. IVEY. All right. I was afraid of that.

Mr. SKEEN. I will appreciate your forbearance.

Mr. IVEY. I will take up in mid-sentence if I have to.

Mr. SKEEN. We will have a break right now and Mr. Kingston, when he comes back, will start again with you. Sorry to leave you in a lurch like this.

Mr. DICKS. We will be right back.

Mr. KINGSTON [presiding]. The Chairman is on his way back, but in the meantime, I want to continue with your statement.

CHALLENGE AMERICA PROGRAM

Mr. IVEY. Thank you, Mr. Chairman. I will back up just a bit and talk about Challenge America a little more slowly. I think I was anticipating the vote just as much as you were and speeding up a bit.

So, Challenge America really has been a great success. We are looking at the applications in the first set of Challenge America grants right now. We have received applications from all 50 States. More than 500 applications have come in.

We are pleased that we were able to move two pilot programs, ArtsREACH that I think a number of members are familiar with because it concentrated on States that had received the smallest number of direct NEA grants, and we have also taken our Arts

Link program, which is the program that connects artists with young people in school and after-school programs. Those have become the core of the Challenge America small grant program that is underway right now.

LEADERSHIP INITIATIVES

We also have some what I would call special projects, we call them leadership initiatives, including a partnership with Housing and Urban Development to bring free after-school arts instruction to young people in 20 public housing centers that are funded by HUD. And each is in a different State, so we are serving 20 States through that program.

CONTINENTAL HARMONY PROGRAM

We also have our Continental Harmony program which places composers in residence in States all over the Nation. In its current incarnation, we have placed composers in 17 States this year. And we also are initiating a new Website in partnership with the not-for-profit organization that provides music in school programs, young audiences, to serve as a resource to teachers all over the country, to help connect artists in schools program with our national standards, our education standards in many different disciplines.

So that is what we have done with the \$7 million increase. The program is underway right now. The first round of grants will be looked at within the next couple of weeks. And the second deadline for the ArtsREACH component of Challenge America is May 1st.

So we are very excited about the response that this program has generated, and we anticipate that it will extend the reach of the agency very significantly, as was intended when Challenge America was funded.

TRENDS

I did mention, just before the Committee broke for its vote, that the trend in our NEA funding has been to see a growth in our client base, both nationally and in terms of organizations that apply to the NEA. We have seen, since 1998, a steady increase in the number of applications, a steady increase, I am pleased to say, in the number of grants that we have actually given.

SIZE OF GRANTS

However, as you would expect, given that we are doing more with a relatively flat funding picture, we have seen the average size of our grant decrease significantly. In 1997, the average grant was \$55,000. In 2001 so far, the average grant is less than \$25,000. It is \$23,600.

We have received 2,756 applications from not-for-profit organizations this year, and we anticipate that there will be an additional 1,000 applications that will come in before the end of the fiscal year because of the Challenge America program.

PARTNERSHIPS: PUBLIC AND PRIVATE

I mentioned our HUD partnership, and that is of special interest to me because it is a way in which, as pleased as we are with the budget request this year and the \$7 million increase that Congress was able to give to the agency last year, we are also pleased that we are able to do more by partnering with other agencies.

We have at present 32 different partnerships with other Federal agencies in place. Twenty-seven of them involve those agencies putting some money into the programs. The HUD project is a very big partnership for us because HUD actually transferred \$3 million to the NEA to allow us to work with the National Guild of Community Schools of the Arts, which contributed \$500,000, along with \$500,000 of our funding, to commit a total of \$4 million to the free arts education programs for young people in public housing.

SONGS OF THE CENTURY

I also want to say just a word about our Songs of the Century program. Some of you may have encountered it because the list of the 365 most significant recordings of the last century generated a good bit of comment in various quarters.

This is the ballot that was circulated primarily to professionals within the recording industry that assisted them in selecting those 365 recordings. The most important piece of the project is not that we assembled this list of important recordings decade by decade, but that these recordings will be available in streamed audio from AOL at school by the fall of this year, and going into 10,000 classrooms, fifth-grade level, along with support materials and curriculum materials developed by Scholastic Inc.

And we have a very, I think, strong partnership that involves very little Federal money, significant investment by the Recording Industry Association and its partners, that will really help take a century of American vernacular music and make it a part of what young people encounter not only in their study of music in school, but in their study of many other disciplines. And there are other partners in line to come onboard and make this project even bigger.

The most important part of the partnership is that it really asks the recording industry to see itself as a caretaker of a part of America's cultural heritage. I think the industry has responded well, and I think it is a very encouraging sign to see an industry take up the role of cultural protector and the role of conveying cultural heritage to young citizens.

Most of our money, Challenge America and other grant-making, goes to very activist-oriented, community-based projects in education and access services to young people. Arts organizations and artists want to be involved in this work.

ADDRESSING CHALLENGES

But I think in conclusion I would say that there is something that we have to always keep in mind, that as we take on challenges in education, challenges in the behavior of young people as they become young citizens, as we take on the task of bringing the arts to underserved communities in urban areas and in geographi-

cally remote areas, we are asking our arts organization and our artists to do more.

The core of their work is all about creating and presenting work to the American public. Their work is the pursuit of excellence. And we want to make certain that as we ask them to do more for community, for young people, for families, that we don't lose sight of that core mission, and that we find the resources down the line to make sure that those organizations are as strong as they need to be and those artists have the kind of careers that they need to have in order to provide the services that we are asking them to give to community and family.

So, members of the committee, Mr. Chairman, with those comments, I will conclude, and I welcome any of your questions.

[The statement of Mr. Ivey follows:]

Statement by

Bill Ivey

Chairman

National Endowment for the Arts

before the

House Interior Appropriations Subcommittee

regarding

Appropriation of the National Endowment for the Arts



**NATIONAL
ENDOWMENT
FOR THE ARTS**

Rayburn House Office Building
Room B-308
Washington, D.C.
April 4, 2001

**Prepared Statement of Bill Ivey
Chairman of the National Endowment for the Arts
Before the Subcommittee on Interior
U.S. House of Representatives
April 4, 2001**

Mr. Chairman and Members of this distinguished Subcommittee, I am honored to come before you once again to discuss our Federal government's ongoing commitment to creativity and cultural heritage.

Before I begin my statement, I'd like to congratulate you, Mr. Chairman, on your new position as leader of this Subcommittee. You have been a strong supporter of the arts throughout your career, and I look forward to your capable leadership and guidance for the Arts Endowment in your new role as Chairman of the Interior Subcommittee.

I also want to thank Mr. Dicks and Mr. Obey for the outstanding leadership and support they have provided the Arts Endowment. We deeply appreciate your vocal recognition of the important role the National Endowment for the Arts plays in nurturing creativity and preserving the cultural heritage of our great nation.

Finally, Mr. Regula, I would be remiss if I did not acknowledge the paramount role you have played in the life of the Arts Endowment over the last few years. Under your able stewardship of this Subcommittee, the Arts Endowment weathered its greatest crisis and also achieved a great victory—its first budget increase in nine long years. We at the Endowment thank you for your steadfast support and your friendship.

New Century, New Vision

Mr. Chairman, the National Endowment for the Arts enters the 21st century as a much different agency than it was thirty-six years ago. And the environment in which we operate has undergone a sea change, as well.

In 1965, the non-commercial arts world was very small. Regional theater did not exist. Most cities had no symphony orchestras. Professional dance consisted of ballet, and only in New York City. Regional folk and traditional arts existed mostly unrecognized, surviving only through the love and devotion of their practitioners.

Three decades ago, the Endowment appeared upon the arts stage playing a small, but crucial role. Today, that role has even greater cultural implications. With the creation of the Endowment, for the first time, the federal government assumed a responsibility for enhancing the creative lives of its citizens and communities. By dispensing small grants as seed money, and enabling fledgling arts organizations to use that money to leverage other private and public donations, the Endowment provided American citizens with greater opportunities to explore their cultural heritage through music, literature, theater, painting and dance.

Across the country, the response was enthusiastic, and in the intervening thirty-six years, the arts scene in America has witnessed explosive growth in all disciplines, as well as in the number of arts organizations throughout the nation.

The impact of this growth on American communities has been dramatic. Today, in the Washington area alone, there are more first-rate theater companies than there were in *all* of New York in 1965. Non-profit arts organizations that didn't exist three decades ago in Tucson, Tacoma, Savannah—and other medium-sized cities—are thriving today.

As with any organization that has been in business for more than three decades, the Endowment has matured in both its reach and in its vision. Our mission and objectives are now broader and more inclusive. Our stakeholders and constituents have multiplied, and our priorities have shifted. Today, we are more citizen-oriented, moving beyond stabilizing nonprofit arts organizations toward guaranteeing creative opportunities for all American citizens.

Our vision for the arts in America has expanded, too. We envision a nation in which every child in every school is taught music, painting, sculpture, dance and theater. We envision a nation in which every American—from the smallest towns—to the most remote rural areas, to the innermost communities of our largest cities—has access to a broad, diverse array of cultural opportunities. We envision a nation that so values its cultural heritage that it invests in efforts to rescue endangered film archives, restore public monuments and statues, and refurbish historic homes.

The NEA of today is a leader and developer of programmatic innovation. Challenge America, ArtsREACH, Creative Links and Creative Communities are all grant programs designed to make the arts available to more people in more places.

The 21st century promises rapid and sophisticated advances in technology, and the Endowment's new program, *Resources for Change*, supports the use of technology in developing arts organizations and in enhancing the creative process itself.

While we respond to the heightened demands of technology, we remain committed to preserving America's creations of the hand and heart. To protect and preserve our folk and traditional arts, the Arts Endowment has initiated a system of apprenticeships, administered by the state arts agencies, themselves inspired by the NEA. These apprenticeships have revived an interest in preserving traditional culture across-the-board—from Mariachi bands in the Southwest to Scots-Irish music in the eastern mountains.

NEA grants continue to be a critical part of the overall nonprofit funding matrix. Federal funds help direct private dollars to projects that increase citizen access to the arts. Federal dollars seed projects, such as the National Dance Project, which together with other public and private sponsors, help dance companies tour their shows to hundreds of small and medium size towns.

Just last month, NEA dollars matched Kennedy Center funding to send the National Symphony Orchestra on a two-week American Residency in Oklahoma. Maestro Leonard Slatkin took his symphony in successive concerts to McAlester, Ponca City, Oklahoma City, Lawton, Tulsa, and Bartlesville. Last year, the Symphony performed for two weeks throughout the state of Mississippi.

While much has changed in our thirty-six year history, one thing remains the same: the NEA grant is universally recognized by other funders as the ultimate seal of approval in the arts.

Moving Forward with Challenge America

Mr. Chairman, so that the NEA can continue its important work, I come before you today asking for your support of the President's requested funding level of \$105.219 million for the National Endowment for the Arts. The request represents an increase of approximately \$450,000 over the final, post-rescission fiscal 2001 appropriation.

Mr. Chairman, I want to thank you and other Members of the Subcommittee for your support of the \$7 million increase the agency received last year in Challenge America funding. As you know, the Challenge America grants were designated specifically in the appropriations bill "for support for arts education and public outreach activities."

I am pleased to report today that your confidence in Challenge America is beginning to bear fruit.

In December 2000, the agency issued guidelines and application materials, and since then, we have received more than 500 applications for the first of two rounds of grant funding. Later this month, those grants will be announced, and the second round will be announced in August.

In developing the Challenge America concept over the past two years, the Endowment worked closely with its state arts agency partners to focus funding on achieving common goals in five areas: arts education; increased access to the arts for all Americans; preservation of our living cultural heritage; services to young people; and strengthening cultural partnerships. Consistent with congressional funding directives in recent years, we divided forty percent of the Challenge America funds among the 56 state and territorial arts agencies.

With respect to the sixty percent of the Challenge America grants managed at the federal level, we re-fashioned and absorbed into the new program two of our newer concepts that foster outreach and enhance youth education—ArtsREACH and *Creative Links*.

Challenge America will retain the youth-oriented and education-enrichment objectives of *Creative Links*, and will expand eligibility for ArtsREACH beyond the original twenty states to include underserved portions of the other 30 states. And again, Challenge America will use a fast-track grants process designed to reduce administrative expenses by compressing the period of time between application and grant approval from nine months to four months.

ArtsREACH was first implemented in fiscal 1998 as an outreach program to serve twenty targeted states that had traditionally been underrepresented in the pool of direct grants. Over the past three years, ArtsREACH has provided 223 grants, dramatically increasing the number of organizations receiving NEA support in those states.

Under ArtsREACH, we funded projects, such as Kaw Valley Arts and Humanities, Inc. in Kansas to create a directory of cultural organizations in their area, and to help plan an arts-based program for low-income youth. We also supported the South Carolina State Museum, which developed a "Hands-on Guide to Leading a Cooperative Arts Program" for young people, as well as hundreds of other projects.

For three years, we concentrated ArtsREACH in the twenty most underserved states. Now, we recognize that within the other 30 states there are still large areas that do not receive sufficient direct grant assistance. The ArtsREACH category of Challenge America grants will begin to focus on those areas, while continuing the initial emphasis in the twenty original states.

During fiscal 2000, *Creative Links: Positive Alternatives for Youth* was developed as a pilot project to support in-school and after-school residencies for artists serving young people in grades six through twelve. By establishing partnerships among schools, cultural organizations and community groups, *Creative Links* provides arts learning activities in safe environments for young people.

Last year, we awarded 156 Creative Links grants totaling \$1,435,000 for projects such as the Tucson Writers, a partnership between the Center for Prevention and Resolution of Violence and the Pima County Juvenile Court Center. Through Tucson Writers, at-risk young people are positively engaged in the creative experience of writing their own poems, stories, and books

Coincidentally, many of our *Creative Links* grantees are—or have partners that are—faith-based organizations. These include the YMCA of Greater Oklahoma City; the Benedictine Sisters of Erie, PA; the United Baptist Church in Lewiston, Maine; the St. James Episcopal Church in Eureka Springs, Arkansas; and the St. Paul Talmud Torah Choir in Minneapolis, just to name a few.

Mr. Chairman, the overarching goal of Challenge America is to place the arts at the center of family and community life. That means reaching out and identifying agendas, cultural organizations and partners that may be eligible for Challenge America funding. To accomplish this outreach effort, Endowment staff has hosted grant workshops to give potential applicants and partners hands-on training and information about NEA programs and opportunities.

Last year, we held thirteen workshops in places like Jefferson, Indiana; Redding, Pennsylvania; Canton, Ohio; Brownsville, Texas; El Dorado, Illinois; and Hickory, North Carolina. So far, this year, we've held seven workshops. In fact, one is underway in Lansing, Michigan, as we speak.

In order to extend our ArtsREACH program to underserved areas in all states, we've developed a targeted workshop schedule that includes 25 stops, in such places as Akron and Springfield, Ohio; Edinburg and Midland, Texas; Macon and Savannah, Georgia; Appleton and Chippewa Falls, Wisconsin; Pensacola, Ft. Lauderdale and Orlando, Florida; and Durham and Charlotte, North Carolina.

These workshops are well-attended and very much appreciated in the field, and our outreach efforts are achieving results. Since 1998, the number of applications requesting grant funds has increased steadily—from 2,317 in FY1999—to 2,703 in FY 2000—to 2,758 so far in FY 2001.

Last year, the agency made 1,483 grants. This is the highest number of grants since 1995, before the agency's budget was cut in half. In fiscal 2000, the NEA reached 314 Congressional districts with direct grants, up from 295 the year before and nearly 100 more than in fiscal 1997. I am confident that our targeted grants workshop effort will further close the gap.

An Area of Concern

Mr. Chairman, I'd like to turn now to an important concern for the Arts Endowment. First, we are serving more people and more places. That is what Congress has asked us to do—and that is our objective, as well. As we've continued to accelerate our efforts, we're also creating heightened expectations and increased demands for funding that are impossible to fulfill. Despite the increase in funds provided for Challenge America, only 21 percent of funding requests were met in 2000, down from 44 percent in 1997.

To help mitigate this problem of supply and demand, beginning last year, the Endowment took the unprecedented step of placing advisory language in its Grants to Organizations guidelines urging "all applicants to consider the level of recent awards and to request a reasonable grant amount." Our language further states that "in the past few years, well over half of the agency's grants have been for amounts less than \$25,000."

Mr. Chairman, while we remain grateful for the support expressed in this year's budget request, the client base of the NEA has expanded significantly and our current resources are spread thin.

Arts Education: Enhancing Learning and Changing Lives

Strengthening the role of the arts in our nation's educational system and encouraging lifelong learning in the arts is one of the agency's foremost goals. In recent years, numerous studies, including the groundbreaking GE Fund/MacArthur Foundation report *Champions of Change*, have presented compelling evidence demonstrating the impact of the arts on the way children learn.

Citing analyses done by researchers at UCLA, the Carnegie Foundation for the Advancement of Teaching, Stanford University, New York's Teachers College, Harvard University and the University of Connecticut, *Champions of Change* offers clear evidence that the arts can improve academic performance, energize teachers, and transform learning environments.

The studies found:

- Students with high levels of arts participation outperform "arts-poor" students on virtually every measure.
- The arts have a measurable impact on students in "high-poverty" and urban settings.
- The arts in after-school programs guide disadvantaged youth toward positive behaviors and goals.

- Learning through the arts has significant effects on learning in other disciplines.
- Arts experiences enhance "critical thinking" abilities.
- The arts enable educators to reach students in effective ways.

These are important findings. Last year, the NEA convened a series of meetings to consider future steps that the agency might take in arts education. Subsequently, the agency modified its arts learning objectives to focus on arts learning opportunities both in school and outside the regular school day, and to emphasize the measurable results of NEA support.

Mr. Chairman, arts education is one of the agency's highest priorities.

In fiscal 2001, through its grants to arts organizations and state partnerships, we will spend \$8 million directly on arts education initiatives. In addition, the agency is allocating \$2 million in Challenge America: *Creative Links* funding for arts enrichment of young people. Finally, through our grants to orchestras, theaters, dance companies and other arts organizations, at least \$5 million is spent on grants that benefit and enrich the lives of America's children and youth through the arts.

Partnering with the Department of Education

In addition to these efforts, I am pleased to report that we now have in progress a series of collaborative projects with the Department of Education. The fiscal 2001 consolidated funding bill for the Department contained \$10 million to develop "model projects and programs that integrate arts education into the regular elementary and secondary curriculum," and an additional \$2 million for community arts partnerships.

The Endowment is participating in the ongoing development of this cooperative program, which will likely fund arts curriculum development and professional development for arts teachers. We are proposing that each of these projects be evaluated.

The consolidated appropriations bill also provided an additional \$2 million to continue and expand the ongoing Department of Education/NEA media literacy collaboration, which was begun last year as a youth violence prevention effort.

This project helps young people understand how and why they are manipulated by advertising, movies, television, electronic media, video games and other forms of media. The projects also help young people develop their own creative skills by giving them the opportunity to design their own ads, make movies, or create video games and web sites. These media literacy projects allow young people to develop skills in both the arts and technology, as students learn to design programming that is both creative and technically advanced.

Last year, the Department of Education and NEA announced ten of these media literacy awards. One project is underway in the Hillsborough County Schools in Tampa, Florida. Students in grades four through seven are using personal journals to record and analyze the impact of media images they encounter. Working with local poets, visual artists and composers, the students are crafting their own positive messages using film, video, web design and other media art forms.

Other Partnerships: Public and Private

Mr. Chairman, the NEA possesses additional unique partnerships both with other Federal agencies and with private sector organizations.

Creative Communities, for example, is one of this year's three Challenge America leadership initiatives. It is a collaborative partnership among the Endowment, the Department of Housing and Urban Development, and the National Guild of Community Schools of the Arts. The project pays for free arts instruction for young people who live in public housing. Often referred to as the "poorest of the poor," these young people will engage in arts programs at least once a week. And, young people who show particular talent and promise will have access to additional instruction. This three-year pilot program will support twenty projects, in twenty states.

With *Creative Communities*, the Arts Endowment is leveraging Challenge America funds. The U.S. Department of Housing and Urban Development is contributing \$3 million to the project. NEA and the National Guild of Community Schools of the Arts are each investing \$500,000.

Arts and Rural Community Assistance

Mr. Chairman, we have a number of ongoing partnerships with other federal agencies, including the Department of Labor and the Department of Justice, but our Arts and Rural Community Assistance collaboration with the U.S. Forest Service may be of particular interest to you and other Members of the Subcommittee.

Recognizing that the arts can be a key factor in revitalizing rural communities, the NEA and the Forest Service contributed \$150,000 in each of the past four years to fund 78 rural projects in 28 states and Puerto Rico. Grants were awarded to communities like Homer, Alaska; Ganado, Arizona; Pottlatch, Idaho; and Idabel, Oklahoma, to sponsor outstanding projects, ranging from presentation of a Council Pow Wow and Cultural Festival to the establishment of a textile center. These projects help fulfill the NEA's commitment to placing the arts at the very center of family and community life.

Songs of the Century

Mr. Chairman, I was very pleased that you were able to attend the NEA/Recording Industry Association of America (RIAA) announcement of our *Songs of the Century* project a few weeks ago.

As you know, *Songs of the Century* will make the most significant recordings of the past 100 years available to students through Internet streamed audio and a special CD. The 365 recordings, selected by a vote of experts and music industry professionals, will be organized on a "song-a-day" basis, and will be supported by curriculum materials designed to connect classic performances with classroom music, literature, history and science lessons. America On-Line and Scholastic, Inc., are developing the curriculum materials.

This project is being funded by the private sector, RIAA and the other partners. In addition to the recording industry's financial commitment, *Songs of the Century* demonstrates how government leadership can persuade private industry to take a serious role in supporting culture. In this case, the record industry serves as caretaker of a significant part of our nation's cultural heritage, and is working with us to share this heritage with millions of schoolchildren around the country.

Occasionally, some have suggested that the NEA's appropriations should be replaced by funds raised from the private sector, however, I strongly believe in maintaining a federal commitment in the arts. Only the federal government can provide the kind of leadership that enables private industry to support projects that protect our cultural heritage and make that heritage accessible to the American public. *Songs of the Century* is a model public-private partnership that would not have come to fruition without the NEA.

Conclusion

Mr. Chairman and Members of this Subcommittee, in the face of serious budget constraints over the past five years, the National Endowment for the Arts has made tremendous progress. Your willingness to allow the agency to move forward with Challenge America this year will enable us to provide better arts service to more American citizens in more communities, and to preserve our irreplaceable cultural heritage for future generations.

I appreciate having this opportunity to appear before the Subcommittee this morning. I'm both a realist and an optimist. I'm realistic about our limitations to meet the increasing demands and rising expectations of our growing arts constituency. But, I'm optimistic that our efforts in America's communities will continue to benefit the lives of American citizens.

Now, Mr. Chairman and Members of the Subcommittee, I'll be happy to answer any questions you might have.



NATIONAL ENDOWMENT FOR THE ARTS

The Nancy Hanks Center
1100 Pennsylvania Avenue NW
Washington DC 20506-0001
202/682-5400

BILL IVEY, CHAIRMAN
NATIONAL ENDOWMENT FOR THE ARTS

Bill Ivey is currently serving as the seventh Chairman of the National Endowment for the Arts. He was unanimously confirmed to a four-year term by the United States Senate in May 1998.

A folklorist and musician, he is a staunch protector of America's living cultural heritage and a forceful voice on national arts policy. As Chairman, he has traveled extensively, giving over 100 speeches and meeting with leaders and representatives of cultural, business, education and civic groups including the U.S. Conference of Mayors, chambers of commerce and Rotary Clubs. He also has met with over 250 members of Congress to discuss the crucial role of federal arts support for our nation's artists, arts organizations and communities. Through these efforts, Ivey achieved a \$7 million NEA funding increase for Fiscal Year 2001, its first budget hike since 1992.

Shortly after becoming Chairman, Ivey spearheaded the development of a five-year strategic plan for the agency. The plan became the basis for *Challenge America*, a new funding initiative targeting support to arts education, services for young people, cultural heritage preservation, community partnerships and expanded access. Under Ivey's leadership, the agency initiated *Creative Links: Positive Alternatives for Youth*, which supports partnerships between arts organizations and community groups to engage young people through the arts. In addition, ArtsREACH, a three-year project, extended NEA support to 20 states previously underrepresented in NEA grantmaking through funding cultural planning initiatives by cultural, civic, educational and religious organizations, as well as state and local governments.

During Ivey's tenure, the Endowment also has expanded its partnerships with other federal agencies, particularly the Department of Education with which the NEA initiated a media literacy program for young people. Since 1998, the NEA has helped Americans celebrate the new century with a wide range of projects such as the *Favorite Poem Project* and *Continental Harmony*.

In the spring 1999, Ivey undertook a comprehensive assessment of the planning and stabilization needs of arts organizations by convening leaders from the cultural, educational, technology and business fields in a series of nine colloquia. To further help strengthen arts organizations, he initiated the development of *Cultural Funding: Federal Opportunities*, an extensive Web resource identifying other potential federal agency support for arts programs of nonprofits. In February 2000, Ivey convened *America's Creative Legacy: An NEA Forum at Harvard*, a 35th anniversary celebration that brought together the past chairs of the Endowment to discuss changes in America's cultural policy.

From 1971 to 1998, Bill Ivey was Director of the Country Music Foundation in Nashville, Tennessee, an accredited nonprofit education and research center. He is the first Endowment Chairman who has developed and run a nonprofit cultural organization. In 1994, Ivey was appointed to the President's Committee on the Arts and the Humanities, where he was a major contributor to *Creative America*, an analysis of American cultural life. Ivey also served two terms as Chairman of the National Academy of Recording Arts & Sciences.

A teacher and writer, Ivey was a Senior Research Fellow at the Institute for Studies in American Music of Brooklyn College and taught at Vanderbilt University's Blair School of Music. Ivey was born in Detroit in 1944 and grew up in the Upper Peninsula of Michigan. He was educated at the University of Michigan and at Indiana University and holds degrees in history, folklore and ethnomusicology.

Mr. SKEEN [presiding]. Thank you very much. Thank you for your forbearance since we had to appear and disappear here.

Mr. IVEY. I understand.

Mr. SKEEN. Any other questions?

ARTS EDUCATION

Mr. DICKS. Well, thank you, Mr. Chairman. I want to again welcome Bill Ivey as the chairman of the Endowment. I want to thank you for the great job that you have done. I have enjoyed working with you. And I deeply appreciate your leadership role, your efforts to come up and talk to Members of Congress and members of the leadership about what you are doing and the importance of the Endowment. I think you have been very proactive, as Bill Ferris has. I think that has made a big difference. I think people are interested and pleased to hear of the progress that is being made by both of the Endowments.

And in reading your testimony today, it says—citing analysis done by researchers at UCLA, the Carnegie Foundation for the Advancement of Teachers, Stanford, New York teachers, et cetera, “Evidence that the arts can improve academic performance, energize teachers, and transform learning environments. The study found students with high levels of art participation outperformed arts poor students on virtually every measure. The arts have a measurable impact on students in high poverty and urban settings. The arts in after-school programs guide disadvantaged youth towards positive behavior and goals. Learning through the arts has significant effects on learning in other disciplines. Arts experiences enhance critical thinking abilities. The arts enable educators to reach students in effective ways.”

And I think these are, as you say, I think these are very important findings. And it seems to me as we look at the performance of the NEA, one of the things to think about is the role you can play in helping educate our children. I believe that the arts are fundamental. And I always worry in my own school, in my own district where, if a levy isn't passed, the first thing that seems to go are the arts programs and after-school programs, things that are important.

I think especially in this era when we need good after-school programs and things for kids to be involved in, it just seems to me that this is so obvious and yet another strong reason to support the work of the Endowment.

Mr. IVEY. Mr. Dicks, thank you for underlining the importance of arts education. It is something that the Endowment has increasingly become involved in over the years. Obviously, we are forced in all of our work, I think properly, of necessity, to be a partner rather than a bill payer.

So if you look at our ability to fund arts education, the actual dollars we can commit are quite tiny. If you look at the Endowment's appropriated money, we are able to spend about \$11.5 million each year, partly in partnership with the States on arts education issues.

And what that ends up doing is working to ensure that we develop quality pilot programs that can be examples that perhaps can inspire others in other places to do more. I think that the statistics,

the information that you referred to, are summarized in a publication called *Champions of Change*, which was put together by the Department of Education and the President's Committee on the Arts and Humanities. And I think that that is a very useful report which, if this committee hasn't already received, we will make sure you get copies, which really talks about the how and the why of this connection between arts education and school performance. And it feels to me that we learn of more of a positive nature almost every month about this connection.

There are some challenges on the horizon. The NEA was very invested in helping to create—first of all, helping to make arts a part of the national standards movement. And arts standards were a part of Goals 2000, and there was a national assessment done. Well, now 2000 has passed, so I think we all have to make certain that the arts remain a part of the education picture as we move on to new strategies.

DEPARTMENT OF EDUCATION

And also, you know, I mentioned what we are able to invest directly with appropriated money. We are very fortunate that we have a couple of ongoing partnerships with the Department of Education.

These are not the same kind of partnerships we have, say, with HUD where they transfer funds to us. But we are able to work on really three different programs with the Department of Education in which the NEA advises the Department on how arts education money can be invested.

And we now have a \$10 million program for 2001. We are still working out the details of exactly what it will contain. There is a wonderful program that started as a \$1 million pilot, expanded into \$2 million for 2001, just on media literacy, helping to teach kids how to interpret the multiple symbols that come at them in television and film and in recordings and also how to create in those same media.

And those kinds of partnerships, I think, help us to extend the reach of our enthusiasm for arts education. Again, we can't be a bill payer, but we can help to pilot some things that I think can be important models. But I think everyone who cares about the relationship between arts and education right now needs to be particularly vigilant, because I think there are key decisions that need to be made between Congress and different agencies over the next few months.

Mr. DICKS. I can think of a middle school in Tacoma where Dale Chihuly helped create a glass art program, and it has been highly acclaimed.

Mr. Chairman, one kid was actually running away from a police officer and ran into this room and all of a sudden realized that something interesting was going on, and he started going to Dale. He got out of trouble, and it made a remarkable change in this person's life.

Mr. IVEY. He actually became a working glass-blowing artist. It became a career path for that young man.

Mr. DICKS. So I think if we give our young people an opportunity to do something positive, they will take advantage of it. We have

got to try to do more, as you suggested, because the funding has been strained here so much.

NEA HISTORY

You know, the other thing I would like to talk about generally, you were talking about the 35th anniversary of the time when these Endowments were created. And to think back about the small number of arts organizations, of symphonies, ballets, performing arts, all of the major institutions, and what has happened since that time over this 35-year period, how the arts have expanded throughout the country. It is kind of ironic at this point, when we are getting out to the underserved areas, this is when we haven't had enough money to really do the job we would have liked to do.

CHALLENGE GRANTS IN SEATTLE

I can remember just in Seattle, when I first became a member of this committee, we got three major Challenge grants in 1976; and it had an enormous impact in terms of the money that we were able to raise in the private sector for three of the leading arts institutions, I think the Northwest Ballet, the Seattle Symphony, and one other—maybe it was the—it was one of the other institutions, I can't think of it right off the top. But it was three of them that got major Challenge grants, and it had an enormous positive impact.

To me, it just is sad that we can't do as much here as I think we should do on behalf of the country.

CULTURAL ORGANIZATIONS

Mr. IVEY. Mr. Dicks, you make an important point. I mentioned, I guess in a somewhat selfish way, the way the application load at the NEA has grown, and the way we have spread our resources by giving more grants but reducing the size of the grants. You point out the fact that the sector itself, just the total number of not-for-profit cultural organizations in the country, has grown enormously.

I went back a couple weeks ago on another mission, really, just to go back to a time when the NEA had about the budget it has now. I think it was around \$100 million in the mid-1980s. The number of cultural organizations in the United States has increased by a factor of 10 since we had a budget about like the one we have now back in the mid-1980s. So we are getting more requests for funds, and the overall sector that we are serving is much, much larger, so the picture is a very different one.

Now, in some ways, I think that that is a sign of success. I mean, obviously, we have in this country a mixed system. Private funding remains the primary engine that drives our cultural not-for-profit organizations. And government in total, you know, is only about 10 percent of what is given to the not-for-profit arts. But it is a very, very important part because we play a kind of leadership role, we provide a sense of continuity and permanence. And I think that the small tail of that big dog can, in fact, take some credit for the fact that we have the kind of cultural sector of the size that it is today

and of the vitality that it is today. So I think we face some real challenges to try to address those needs.

And you mentioned the Challenge grants. That is a program that actually was eliminated at the Arts Endowment when the agency was made smaller a few years back. And that was one of our main points of contact between the NEA and our major cultural institutions, the ballet companies, the opera companies, symphony orchestras, major museums and so on. It would be a good thing if somewhere down the road we could together find a way to move back into that kind of relationship with these big institutions.

Mr. DICKS. Well, my time is expired, but let me make one observation. You mentioned partnerships. I think, personally, partnerships are very positive. And I am pleased to hear that both of the Endowments are working with other entities and the private sector. I think we have no choice under the circumstances but to do that.

Thank you, Mr. Chairman.

Mr. SKEEN. Thank you, Mr. Kingston.

Mr. KINGSTON. Thank you, Mr. Chairman.

Mr. Ivey, just some dogs-and-cat type questions.

Mr. SKEEN. Okay. You can sort them out.

Mr. KINGSTON. We will let you sort them out.

NEA REFORMS

The Supreme Court case of the woman who was dipped in chocolate. It had to do with the first amendment. Do you remember the name of that case?

Mr. IVEY. It was referred to generally as the Finley case.

Mr. KINGSTON. Now, was that in NEA? I don't remember if it was or not.

Mr. IVEY. It involved the NEA. She wasn't actually dipped. But there was chocolate involved.

Mr. KINGSTON. Whatever it was. Now, that was around 1996, I guess, or some time around there.

Mr. IVEY. I think the issue really emerged around 1996. I can't tell you exactly when the—

Mr. KINGSTON. And I would say there was maybe a 3- or 4-year philosophical tug of war between the art community, in general, and public funding as being able to direct it even after the Finley case, but it seems to have died down somewhat. And I know that NEA has been a little more careful monitoring, you know, the watermelon woman type projects of the world, the groups that cause a little bit of a concern.

Is that settled in your mind with the folks you deal with, or does it constantly come up? And the reason I ask that question is, people on the critical side of the ledger on that don't quite realize that the Supreme Court case changed the dynamic. And then politically I think the NEA has kind of said, look, we need to be a little more careful here. They don't seem to know that as much. You don't get the credit for the progress you have made, in their vision, in the direction you have moved in. But do you have critics on the other side saying something else?

Mr. IVEY. That is a fascinating question. I appreciate the compliment implied in your sense that we don't get enough credit. I

think the agency has changed significantly in the way it does its work, not so much out of a perception of political necessity, but a couple of really specific things happened.

You know, there was a commission, John Brademas and Len Garment co-chaired it. Out of that commission came some very specific recommendations that that commission thought would help the NEA's process.

And a couple of them that are important—one was that we get out of the business of regranting, which would be giving money to a not-for-profit and say you decide who gets the funding; and that we concentrate on projects rather than general operating support. And what that has done is allowed the agency and its panels to really know what it was that we were funding, so that if something that is challenging is supported by the Endowment, everybody down the line, from our panels to our National Council to me as Chairman, has a really good idea why that particular project was funded. I think that has had the effect of creating grants that I think were broadly successful, because so many different points of view were brought to bear in the process and we knew exactly what we were funding.

So I think that there were some things that actually were changed about the way we do our work, and generally those have been helpful.

CRITICS

The last part of your question: Are there observers or critics who would take the other side? I think there are some who feel that the Federal Government, because we represent a free society, has a special obligation to fund even the most aggressive artistic expressions that rely on first amendment rights.

My position as chairman has been somewhere in the middle. I certainly am a strong advocate of the First Amendment rights of artists, but I try to take a practical view in understanding that from time to time, as in many other issues that the government faces, we are going to find occasions when there are some limitations on the breadth of what we can do.

Mr. KINGSTON. Personally speaking, I think it is a wonderful debate.

Mr. IVEY. I do, too.

Mr. KINGSTON. I think it is a great ongoing debate. It is about the first amendment. It is about art. It is about funding. You have got all the good elements and all the great players that can bring emotional pizzazz to anything. But I just wonder how it is like on your side of the ledger, because I know what it is like in terms of the letters we receive. They are still kind of operating in 1997.

Mr. IVEY. And I would certainly assure you, Mr. Kingston, that there are people who advocate for the expressive rights of artists who are just as eager to criticize the Endowment for doing too little as some others might be for asking us to do too much.

I think the challenge we have now had, I think the first half of the decade of the 1990s, the kind of debate that generated more heat than light. And maybe over the next few years, there will be an opportunity to have a conversation that will be ultimately—

Mr. KINGSTON. It is kind of interesting because I think both sides overblow—in one sense, overblow the substance of it. But in terms of the philosophy, it is a noble debate to have; it truly is.

GRANT TRACKING

Now, let me ask you this. In terms of your 1,483 grants in over 300 congressional districts—several years ago it was 100—but I know one of the ways that you weren't getting credit in being distributed well enough was the fact that you would give something to the New York museum of whatever, and they would actually regrant it or spend the money in rural Georgia or Alabama or whatever, and yet the money did have to go to New York City.

Now, did you change the way you track it, or is it now actually going to recipients in those States—in those congressional districts, I mean?

Mr. IVEY. There are two ways that we track our grant-making very closely. One would be, obviously, the direct grants. And the second area that we have begun to track just as aggressively we call indirect, which is exactly as you describe. A dance company or a theater in Boston or in St. Louis might be funded to get out and tour in rural areas. And so we can now track when that performance hits the underserved areas, so that if we talk with anyone interested in our work, we can present both the direct and the indirect.

What we don't track specifically, although the information could be recovered, would be how the States, where the States invest the 40 percent of our grant-making money that is basically block granted.

Mr. KINGSTON. But the move from over 300 districts from 100 districts, that is not a change in definition.

Mr. IVEY. No. In fact, the numbers that we are talking about there very specifically only track direct grants because—

SONGS OF THE CENTURY

Mr. KINGSTON. Okay. Also on the hundred songs of the century.

Mr. IVEY. 365.

Mr. KINGSTON. 365. What was the purpose of that?

Mr. IVEY. Well, it is really to—the primary purpose is to partner our Federal cultural agency with a sector of the entertainment community that owns a good bit of America's cultural heritage in order to make that heritage available to young people in a meaningful way.

We live in a country in which a huge percentage of what we think of as our Nation's cultural heritage, films, television programs, radio programs, sound recordings, are simultaneously cultural heritage and corporate asset. And I think it is very important that the Federal agency come to these industries and say this is part of our Nation's cultural heritage. Let us find ways to make meaningful performances, meaningful parts of that heritage, available to young people in a way that makes sense to what goes on in the classroom.

COPYRIGHTS—SONGS OF THE CENTURY

Mr. KINGSTON. Okay. Now, that is going to be available on-line. Well, here is where I am going. What prevents somebody from downloading that and getting into a Napster situation?

Mr. IVEY. Right. It is going to be available in two ways: streamed audio, which is not downloadable, so that it can be accessed and listened to but not downloaded. Then it is going to be available in a special CD—the partners are trying to find the way to fund it—but a compact disk that would go with the curricular materials to the classroom. In that case, all the royalties would be paid and everything would be licensed.

Mr. KINGSTON. Don't royalties for records last about 20 years?

Mr. IVEY. They last the copyright on it, plus 50 years.

Mr. KINGSTON. So if we are going back a century, what happens to something that is outside that?

Mr. IVEY. We are at a point where some of the very, very earliest songs and recordings will be falling into the public domain. The most recent revision of copyright law, and I am not an expert in this, but I think that there was an attempt to bring into copyright coverage some material from the teens and twenties that would be close to falling out of a copyright. So those are now protected. But I believe when you go back into the late 19th century, some of those have become—

Mr. KINGSTON. How big of a stumbling block has that been in terms of figuring out the right contracts?

Mr. IVEY. I think that any entity in our society, Federal, State, private, not-for-profit, that wants to use the part of our Nation's cultural heritage that is owned as a corporate asset, historical recordings, really needs to partner with the industry that owns those copyrights; because, since RIAA was the Endowment's partner in Songs of the Century, they as an industry were able to cut through much of the red tape that would be involved in clearing the use of these recordings that were selected.

But you have identified something that is a huge task to anyone who wants to complete an anthology of historical recordings or television programs or historical films.

ARTS FUNDING

Mr. KINGSTON. All right. Also, 10 percent—I think you said something like 10 percent of the funding for nonprofit organizations involved in art is from the government.

Mr. IVEY. That is taking all levels. You have got about an \$11 to \$12 billion sector that would be all of the money that is contributed to the not-for-profit arts. They also earn about another \$700 or \$800 million. But put that aside, the money that is given to the not-for-profit arts, about \$12 or \$13 billion, all of government is about 10 percent of that. And with the Federal, the smallest; State, the next largest; and municipalities, the largest.

Mr. KINGSTON. Okay. Now, the \$12 billion that is given, how is that given, corporately or individually, or both?

Mr. IVEY. It is corporate, individual, and private foundations. Those three.

Mr. KINGSTON. But then there is a subsidized tax write-off, a tax credit for an individual.

Mr. IVEY. There could be. That is right, there could be. In the case of a corporation, it could be either as a charitable contribution; or in some cases as a business expense.

Mr. KINGSTON. Do you know how much that is?

Mr. IVEY. I don't.

Mr. KINGSTON. And the reason why that is important is that we always hear, well, the NEA has the statement. And you always hear people say, well, this shows our values. Well, they always overlook, very conveniently, the tax credit. I mean, just think about it right now. We are trying to increase the tax credit for people giving to medical research, and I think there is legislation pending. And the critics are there, saying we can't afford it. But, you know, obviously the government is making a statement in support of the arts when we are having a tax credit for contributions to it.

Mr. IVEY. I think that that is an important mechanism. It goes back to 1917. And it enshrines America's philanthropic spirit, which I think probably, you know, precedes the tax law that memorialized it.

There is a great deal of interest right now around the world in the U.S. system of funding culture. You know, many European countries have had very unified centralized ministries of culture where everything was paid from the top down. There is a great deal of curiosity about the U.S. system because those ministries of culture are in many cases sort of staggering under the financial weight of paying the entire bill.

And one thing that some nations are observing is that it is more than tax law, it is also the great tradition of giving which we have, in combination with some tax incentives. But that has been very important to the NEA because every grant we make is a matching grant. Our grants are all made to cultural not-for-profits. And those not-for-profits can turn to corporations or turn to individuals for a match in part; because they can say, if you come and match our NEA grant, you can deduct your contribution from your tax bill. And I think it has been very important to the health—

Mr. KINGSTON. I think it is always worthwhile highlighting that. In addition, the Federal Government, State governments and local governments purchase art for Federal buildings, and in addition to that fund a tremendous amount of art education.

ARTS EDUCATION

The study about children and students improving their grades, I do believe that that is the case. I would like to see the study because I have heard so many of these studies. The concern I have always had, just as it is also possible that somebody who picks up the cello or wants to learn water colors may also be, you know, a little bit more intellectually attuned to begin with. So, you know, I don't know how much art enhances versus how much art actually energizes the intellectual spirit, and I don't know that we will ever know that.

Mr. IVEY. I think you have asked a good question. If you look at the studies, more than half of them are correlational studies. They show if students—they look at students who are doing better; they

see arts as a correlation. And I think one of the challenges is, as has already happened in some areas, to move to a more aggressive kind of study, which people don't like in the field of education because you end up depriving young people. You say you can't have any art, so we can study what happens to the ones that have it. Parents often don't like those kinds of studies. But I think that kind of look, hard look at causation as well as correlation, is something that is already happening and we need to do more of it.

Mr. KINGSTON. Well, you know, Mr. Chairman, one of the big things that kind of—this type study is a little bit more recent. Previous studies have talked about violence. And, to me, that is something that is absolutely there, as well as things like art rehabilitation and therapy, you know, from other illnesses and problems, physical or mental. And, you know, it is undeniable what an impact that has.

Mr. IVEY. One of the most important partnerships that we have had over the years, occurred about 5 years ago, was a partnership with the Department of Justice for a relatively small program that looked at after-school arts programming for kids who were having trouble with authority. Some of them had already had contacts with the juvenile justice system. Some had been identified as problem kids with their schools.

But what happened was they looked at kids who had arts programming and also at kids that didn't, who were in the same situation. And the Justice Department, our partner, invested in an independent study of the results, brought in a company just to analyze it, and the arts kids did better across the board. It was a small study. It was in Portland, Oregon and San Antonio and the suburbs of Atlanta. And as small as the project was, it is one of the ones I come back to again and again when I talk about the value of the arts to young people because of the way it was studied.

Mr. KINGSTON. I agree. I think that it is extremely significant and often overlooked. Thank you.

Mr. IVEY. Thank you.

Mr. SKEEN. I want to thank all of you. It has been very absorbing.

Mr. IVEY. Thank you, Mr. Chairman.

Mr. SKEEN. It is 1 o'clock, and it is time for us to get out of here. [Questions for the record follow.]

Outreach Efforts – Challenge America

1. Last year the Congress provided funds for a new appropriations account, The Challenge America Arts Fund, to be administered by the NEA. What specific activities have been supported by these funds?

ANSWER 1. During the early portion of FY 2001, there has been considerable administrative activity including developing application guidelines, creating staff systems and, after guideline distribution, responding to nation-wide inquiry about Challenge America's two deadlines (Feb 1st and May 1st of 2001). During this same period, staff increased travel to underserved communities in an effort to ensure that there would be sufficient public notice about this new initiative. We are able to provide a preliminary report on the programmatic activities of the "Positive Alternatives for Youth: Creative Links" component, for which there was a Feb deadline. Detailed reports are currently being compiled. The agency received 536 applications (compared to 360 applications reviewed during the FY00 pilot) representative of all states. It is notable that many of the organizations are first-time applicants. The agency is scheduled to make grant award announcements in late May. In an attempt to reach as many deserving communities as funding allows, we hope to make a minimum of 170 awards. This cycle will be repeated for the May 1 deadline for Challenge America projects that will be announced in late August. At this time, we anticipate the May deadline may generate a greater response due to there being more time for the public to work on applications for this component.

2. Are the Challenge America Arts projects being managed differently from other NEA activities? Please explain how the grant process is proceeding.

ANSWER 2. Yes, the management of the Challenge America review process is different in several respects. This is a "Fast Track" process for which category applicants have approximately a four-month turnaround period from initial receipt of applications until the public notice of agency decisions. The process utilizes a streamlined proposal form and truncated application procedures. For example, the application packet requires submittal of specific supplemental materials designed to provide project details in an extremely concise manner. In order for staff to meet established administrative timetables, there is nominal follow up by staff with applicants, only to acknowledge application receipt. For example, if an application is missing any information, it is neither possible to notify applicants nor is there any attempt to obtain additional materials. Also, the grant awards are limited to only two options, either \$5,000 or \$10,000. Another major difference between the standard adjudication and Challenge America processes is that staff receives advice on application

quality from contracted "Readers". Uniformity regarding review criteria and balloting procedures is maintained. However, Readers review materials offsite, then return scores and comments to staff on a specified date, rather than convening at the agency to engage in discussion, review audiovisual materials and conduct on-site voting.

3. What other activities has the NEA pursued during the past two years to broaden the reach of your programs?

ANSWER 3. Ensuring better access to NEA funds has been one of the current Chairman's highest priorities. The agency has continued and expanded upon the actions first taken in 1998 to ensure broader distribution of grants. These include continued improvements in our review process and the continuation of important leadership initiatives, such as the ArtsREACH program.

Over its three years of funding (1998-2000), ArtsREACH has been successful in stimulating cultural planning and investment in the arts in the twenty targeted states. During its three-year history, the NEA awarded 223 grants for community-wide arts development. These numerous grant awards have helped communities across the nation implement cultural projects involving more than 1,000 diverse organizations. In addition to a wide range of performing, visual, literary and media arts organizations, ArtsREACH projects included a variety of non-arts groups, with organizations as far-reaching as airports and zoos participating as partners.

In addition, the agency is continuing to make improvements in recruiting merit panelists with diverse backgrounds and from under-represented states. NEA is monitoring all grant awards to ensure that no state receives more than 15 percent of the total, excluding multi-state grants. We are continuing to send NEA staff members to the field to provide on-site technical assistance to organizations, conduct grant workshops, and consult with state arts agencies, local arts agencies, government and arts leaders to encourage applications for projects that have the potential to be competitive.

As a result, the agency is now making many more grants to more places than at any time since the budget was cut dramatically in 1996. However, because the agency's discretionary grant-making budget (including Challenge America) is down 56 percent from its high in 1992, grants are smaller and a lesser percentage of funding requests is being met.

4. Is the number of congressional districts served by NEA grants increasing or decreasing for the last 3 years? Please provide the Committee a chart

showing the number of districts that received direct grants in each of FY 98, 99 and 2000.

ANSWER 4: The number of congressional districts served by NEA grants in increasing each year. See attached chart as Exhibit A.

NATIONAL ENDOWMENT FOR THE ARTS

Congressional Districts/NEA Direct Grants

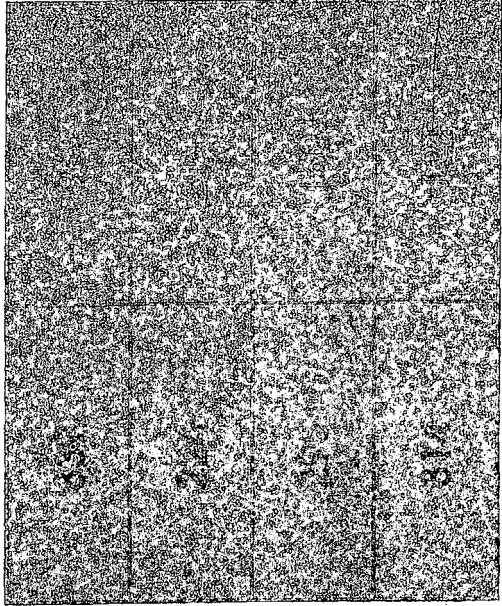
Received Grants Did Not
Receive Grants

• FY 1995 Budget - \$162 million
Before Budget Cuts

• FY 1997 Budget - \$99.5 million
Before ArtsREACH

• FY 1999 Budget - \$98 million
After ArtsREACH

• FY 2000 Budget - \$98 million



5. Your Challenge America initiative appears at the core of your efforts to extend the reach of the NEA. Please explain how ArtsREACH and other base programs interact with Challenge America. If the NEA were funded again at the same level as in 2001, what would be the impact on Challenge America and ArtsREACH? What could NEA achieve with increased funding for Challenge America in FY 2002?

ANSWER 5: ArtsREACH was extremely successful over the three-year period 1998-2000 in increasing the number of direct grants given to the 20 most underserved states. Beginning in FY 2001, ArtsREACH has been incorporated into Challenge America at an increased level of funding. The restriction to the 20 most underserved states has been lifted. Challenge America/ArtsREACH funds may now go to underserved areas in all fifty states. In general, the few Congressional Districts that the NEA has not succeeded in making direct grants to in the last few years are not in the 20 former ArtsREACH states. Rather they are in rural and suburban parts of generally well-served states like Florida, Michigan, Ohio, Georgia, North Carolina etc. With increased funding for Challenge America, NEA could better serve these areas bringing more creative opportunities to families and communities.

6. Should Challenge America remain a separate account or be consolidated into the NEA grants account?

ANSWER 6: Over the long term, for budget simplicity, it may be advantageous to consolidate NEA grants into a single account. The President's Budget maintained a separate account for Challenge America to highlight the importance of this new initiative.

7. What will be the state arts council's role in Challenge America? What is the impact of their receiving 40 percent of the funds?

ANSWER 7: State arts agencies in the 50 states plus the District of Columbia and Puerto Rico are each receiving \$40,000 to provide additional support for arts education and outreach activities for rural and underserved areas. Within this mandate Challenge America funds awarded to state arts agencies will support projects in the areas of: arts education; access to the arts; positive alternatives for youth, cultural heritage/preservation; and community arts development.

The state arts agencies have identified 79 projects that will utilize Challenge America funds. Of these, 36 are new projects and 43 are expansions of existing projects. Approximately 28 percent of the funds will focus primarily on arts education, 23 percent on projects that offer positive alternatives for youth, and 21 percent on access to the arts, with the

remaining funds divided between community arts development, cultural heritage, and projects that address multiple goals.

State arts agencies have made good use of the 40 percent of grant funds that they currently receive from the Arts Endowment. The additional funds for Challenge America will enable them to expand programs or undertake new efforts in areas of priority for both the Endowment and the states.

8. Your authorizing legislation has expired, and under the rules of the House funding cannot be appropriated for programs that are not authorized. What is the status of your reauthorization?

ANSWER 8: There have been no developments on reauthorization since the May 27, 1999, Senate Health, Education, Labor and Pensions Committee hearing conducted by Senator James Jeffords. Senator Jeffords had previously sponsored reauthorization bills that were reported by the committee, but not passed by the Senate.

Representative Pete Hoekstra, who chairs the House Subcommittee on Select Education, with jurisdiction over NEA issues recently informed NEA Chairman Bill Ivey that he would like to pass a reauthorization bill this year.

9. What activities are you engaged in that would assist efforts to see the NEA reauthorized? Have you or your staff had any discussions with the House authorizing committee staff or members on their plans to move a bill during the 106th Congress?

ANSWER 9: The agency has provided technical assistance to members and staff in the Senate committee on a possible reauthorization measure. With respect to the House, NEA Chairman Bill Ivey was recently informed by the Chairman of the House Subcommittee on Select Education, Pete Hoekstra, that he was interested in moving reauthorization legislation.

Impact of FY 1998 NEA Reforms

10. One of the perceived problems with the NEA grant program has been that much of the funds have gone to the cultural elite in just a few cities. What has been the impact of the 15% cap that any one state can receive?

ANSWER 10: The perception is completely wrong. Since 1998, NEA has made tremendous progress toward reaching more people and more places. Grants focus on education, services for young people, and preservation of cultural heritage. There has been a new emphasis on

grant giving to smaller organizations in need in small and medium-sized communities.

The 15 percent cap has helped to redistribute grant funds from New York State to the other states. New York has lost over 40% percent of its NEA funding over the past four years.

11. To date, which states have received the greatest amount of funds? Please provide a table which indicates the distribution of grants by state, for 1998, 1999 and 2000 to date.

ANSWER 11: See attached tables Exhibit B.

12. The reforms exempted grants having national impact from counting towards any individual state. To date, how many grants, and for how much, have been included in this category?

ANSWER 12: See attached tables Exhibit B.

National Endowment for the Arts
FY 1998 AWARDS

Alpha by State

STATE	Total Awards			Multi-State Awards			Total Awards LESS Multi-State Awards		
	No.	Amount Awarded	% of Total Dollars	No.	Amount Awarded	% of Total Dollars	No.	Amount Awarded	% of Total Dollars
Alabama	12	\$973,850	0.82%	1	\$1,000	0.01%	11	\$962,850	0.81%
Alaska	16	\$1,007,200	1.22%	3	\$89,300	0.07%	13	\$917,900	1.15%
American Samoa	1	\$257,100	0.31%	0	\$0	0.00%	1	\$257,100	0.31%
Arizona	18	\$1,285,150	1.87%	3	\$128,000	0.16%	15	\$1,157,150	1.42%
Arkansas	6	\$483,700	0.60%	0	\$0	0.00%	6	\$483,700	0.60%
California	178	\$6,885,959	8.35%	40	\$1,504,148	1.83%	138	\$5,381,811	6.52%
Colorado	16	\$1,742,462	2.12%	4	\$943,000	1.15%	12	\$799,462	0.97%
Connecticut	21	\$1,208,600	1.47%	2	\$45,700	0.06%	19	\$1,162,900	1.41%
Delaware	9	\$551,200	0.68%	0	\$0	0.00%	9	\$551,200	0.68%
District of Columbia	48	\$6,241,483	6.37%	30	\$5,120,400	3.78%	18	\$2,121,083	2.59%
Florida	17	\$1,197,400	1.38%	2	\$20,300	0.02%	15	\$1,177,100	1.36%
Georgia	24	\$1,981,585	2.43%	6	\$927,700	1.18%	18	\$1,053,885	1.25%
Guam	1	\$265,100	0.32%	0	\$0	0.00%	1	\$265,100	0.32%
Hawaii	11	\$788,900	0.96%	3	\$213,800	0.26%	8	\$575,100	0.70%
Iodato	3	\$520,000	0.63%	1	\$18,800	0.02%	2	\$501,200	0.61%
Illinois	58	\$2,262,125	2.78%	12	\$396,000	0.78%	46	\$1,866,125	1.99%
Indiana	14	\$767,359	0.93%	0	\$0	0.00%	14	\$767,359	0.93%
Iowa	14	\$664,483	0.81%	2	\$25,000	0.03%	12	\$639,483	0.78%
Kansas	13	\$617,630	0.75%	4	\$63,760	0.07%	9	\$553,870	0.68%
Kentucky	10	\$784,700	0.97%	3	\$166,000	0.20%	7	\$618,700	0.76%
Louisiana	15	\$1,033,700	1.26%	1	\$87,500	0.11%	14	\$946,200	1.16%
Maine	10	\$588,200	0.73%	0	\$0	0.00%	10	\$588,200	0.73%

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Alpha by State

National Endowment for the Arts
FY 1998 AWARDS

STATE		Total Awards			Multi-State Awards			Total Awards LESS Multi-State Awards		
No.	Amount Awarded	% of Total Dollars	No.	Amount Awarded	% of Total Dollars	No.	Amount Awarded	% of Total Dollars		
21	\$3,376,900	4.11%	61	\$2,185,300	2.66%	131	\$1,191,800	1.45%		
Massachusetts	\$4,532,100	5.51%	15	\$2,517,600	3.08%	47	\$2,014,500	2.45%		
Michigan	\$1,166,600	1.42%	2	\$54,000	0.07%	14	\$1,112,600	1.35%		
Minnesota	\$2,987,200	3.61%	15	\$1,864,700	2.27%	22	\$1,102,500	1.34%		
Mississippi	\$673,770	0.82%	1	\$50,000	0.06%	7	\$623,770	0.76%		
Missouri	\$1,794,300	2.18%	5	\$960,600	1.08%	14	\$803,700	1.02%		
Montana	\$714,100	0.87%	5	\$46,500	0.06%	13	\$667,600	0.81%		
Nebraska	\$736,816	0.89%	0	\$0	0.00%	11	\$736,816	0.89%		
Nevada	\$662,400	0.79%	1	\$6,500	0.01%	7	\$645,900	0.78%		
New Hampshire	\$986,200	0.83%	1	\$97,000	0.12%	7	\$589,200	0.72%		
New Jersey	\$1,296,000	1.57%	7	\$212,500	0.26%	14	\$1,083,500	1.32%		
New Mexico	\$639,460	1.02%	4	\$103,850	0.13%	14	\$735,600	0.89%		
New York	\$12,314,347	14.98%	102	\$4,967,622	6.04%	218	\$7,346,725	8.93%		
North Carolina	\$1,194,950	1.45%	4	\$134,300	0.16%	18	\$1,060,650	1.28%		
North Dakota	\$609,500	0.74%	0	\$0	0.00%	9	\$609,500	0.74%		
Northern Marianas	\$266,400	0.32%	0	\$0	0.00%	1	\$266,400	0.32%		
Ohio	\$1,612,500	1.95%	12	\$175,000	0.21%	23	\$1,437,500	1.75%		
Oklahoma	\$576,300	0.70%	1	\$30,000	0.04%	7	\$546,300	0.66%		
Oregon	\$941,750	1.15%	3	\$50,000	0.06%	16	\$891,750	1.08%		
Pennsylvania	\$2,475,250	3.01%	15	\$442,300	0.54%	48	\$2,032,950	2.47%		
Puerto Rico	\$504,200	0.61%	1	\$5,000	0.01%	5	\$499,200	0.61%		
Rhode Island	\$797,000	0.97%	1	\$20,000	0.02%	11	\$777,000	0.94%		

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National Endowment for the Arts
FY 1998 AWARDS

Alpha by State

STATE	Total Awards				Multi-State Awards				Total Awards LESS Multi-State Awards			
	No.	Amount Awarded	% of Total Dollars	No.	Amount Awarded	% of Total Dollars	No.	Amount Awarded	% of Total Dollars	No.	Amount Awarded	% of Total Dollars
	South Carolina	12	\$856,608	1.08%	2	\$125,000	0.15%	10	\$731,508	0.89%		
South Dakota	9	\$941,400	0.86%	0	\$0	0.00%	9	\$941,400	0.86%			
Tennessee	12	\$708,800	0.86%	0	\$0	0.00%	12	\$708,800	0.86%			
Texas	49	\$2,268,450	2.76%	6	\$282,000	0.34%	43	\$1,986,450	2.41%			
Utah	12	\$910,525	1.11%	2	\$35,000	0.04%	10	\$875,525	1.06%			
Vermont	13	\$671,160	0.82%	2	\$30,000	0.04%	11	\$641,160	0.78%			
Virgin Islands	3	\$275,000	0.33%	0	\$0	0.00%	3	\$275,000	0.33%			
Virginia	17	\$1,021,800	1.24%	3	\$220,000	0.27%	14	\$801,800	0.98%			
Washington	37	\$1,228,980	1.50%	4	\$76,600	0.09%	33	\$1,153,180	1.40%			
West Virginia	6	\$538,300	0.66%	1	\$30,000	0.04%	5	\$508,300	0.62%			
Wisconsin	19	\$1,129,890	1.37%	3	\$122,000	0.15%	12	\$1,007,890	1.23%			
Wyoming	8	\$529,150	0.64%	1	\$12,500	0.02%	7	\$516,650	0.63%			
Funds Awarded	1	\$30,000	0.03%	0	\$0	0.00%	1	\$30,000	0.03%			
Totals	1,472	\$82,235,178	100.00%	344	\$22,758,671	27.67%	1,128	\$59,476,707	72.33%			

¹ Fiscal Year 1998 Awards include grants to organizations (including ArtsEndeavor), grants to individuals (Literature, National Heritage, and Jazz Masters Fellowships), State & Regional Partnership Agreements, Leadership Activities, and cooperative agreements and contracts.

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National Endowment for the Arts
FY 2000 AWARDS by STATE

STATE	AWARDS LESS MULTISTATE AWARDS ¹			MULTISTATE AWARDS ²			GRAND TOTAL AWARDS		
	No.	Amount Awarded	% of Grand Total Dollars	No.	Amount Awarded	% of Grand Total Dollars	No.	Total Amount Awarded	% of Grand Total Dollars
Alabama	18	\$783,400	0.94%	1	\$36,500	0.04%	19	\$819,900	0.98%
Alaska	12	\$688,900	0.82%	1	\$25,000	0.03%	13	\$713,900	0.85%
American Samoa	2	\$243,900	0.28%	0	\$0	0.00%	2	\$243,900	0.28%
Arizona	11	\$798,900	0.96%	6	\$175,000	0.21%	17	\$973,900	1.17%
Arkansas	9	\$404,200	0.54%	1	\$8,000	0.01%	6	\$462,200	0.55%
California	181	\$4,437,560	5.31%	80	\$3,227,568	3.86%	241	\$7,665,103	9.18%
Colorado	22	\$1,038,500	1.24%	3	\$973,100	1.16%	22	\$1,830,900	2.19%
Connecticut	6	\$841,900	0.65%	7	\$150,500	0.18%	29	\$1,195,000	1.42%
Delaware	6	\$541,900	0.65%	0	\$0	0.00%	6	\$541,900	0.65%
District of Columbia	41	\$1,511,557	1.81%	44	\$3,885,900	4.65%	85	\$5,397,457	6.45%
Florida	41	\$1,801,165	1.92%	4	\$120,000	0.14%	45	\$1,721,165	2.06%
Georgia	18	\$965,700	1.16%	8	\$1,016,082	1.22%	26	\$1,981,782	2.37%
Guam	2	\$286,200	0.32%	0	\$0	0.00%	2	\$286,200	0.32%
Hawaii	12	\$588,800	0.71%	4	\$88,088	0.11%	16	\$684,868	0.82%
Iaaho	6	\$501,900	0.67%	0	\$0	0.00%	6	\$501,900	0.67%
Illinois	65	\$2,021,205	2.42%	21	\$816,500	0.98%	86	\$2,837,706	3.40%
Indiana	16	\$775,600	0.93%	5	\$101,000	0.12%	21	\$876,800	1.05%
Iowa	15	\$632,700	0.76%	4	\$45,000	0.05%	19	\$677,700	0.81%
Kansas	11	\$588,900	0.72%	2	\$70,000	0.08%	13	\$658,900	0.80%
Kentucky	12	\$768,900	0.92%	3	\$80,000	0.10%	15	\$848,900	1.02%
Louisiana	18	\$775,100	0.93%	4	\$160,000	0.13%	22	\$935,100	1.08%
Maine	15	\$611,900	0.73%	0	\$0	0.00%	15	\$611,900	0.73%
Maryland	15	\$767,500	0.92%	12	\$1,886,364	1.90%	27	\$2,353,864	2.82%
Massachusetts	53	\$2,207,700	2.76%	15	\$1,182,400	1.42%	68	\$3,490,100	4.18%
Michigan	14	\$811,800	0.97%	6	\$176,000	0.21%	20	\$987,800	1.18%

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National Endowment for the Arts
FY 2000 AWARDS by STATE

STATE	AWARDS LESS MULTISTATE AWARDS ¹			MULTISTATE AWARDS ²			GRAND TOTAL AWARDS		
	No.	Amount Awarded	% of Grand Total Dollars	No.	Amount Awarded	% of Grand Total Dollars	No.	Total Amount Awarded	% of Grand Total Dollars
Minnesota	38	\$1,217,300	1.46%	14	\$1,593,100	1.84%	50	\$2,760,400	3.29%
Mississippi	17	\$723,295	0.87%	0	\$0	0.00%	17	\$723,295	0.87%
Missouri	19	\$923,700	1.11%	8	\$893,300	1.07%	27	\$1,817,000	2.18%
Montana	13	\$655,024	0.78%	2	\$27,500	0.03%	15	\$682,524	0.82%
Nebraska	13	\$664,100	0.80%	2	\$55,000	0.07%	15	\$719,100	0.86%
Nevada	7	\$563,000	0.71%	0	\$0	0.00%	7	\$563,000	0.71%
New Hampshire	6	\$547,200	0.66%	8	\$79,500	0.10%	13	\$626,700	0.75%
New Jersey	24	\$1,148,950	1.38%	9	\$191,500	0.23%	33	\$1,340,450	1.60%
New Mexico	21	\$772,800	0.93%	5	\$235,000	0.28%	26	\$1,007,800	1.21%
New York	246	\$6,290,070	7.53%	144	\$6,476,000	7.75%	390	\$12,766,070	15.28%
North Carolina	21	\$932,000	1.14%	2	\$14,000	0.02%	23	\$946,000	1.16%
North Dakota	11	\$693,500	0.72%	1	\$9,250	0.01%	12	\$812,750	0.73%
Northern Marianas	1	\$250,400	0.30%	0	\$0	0.00%	1	\$250,400	0.30%
Ohio	46	\$1,393,300	1.65%	10	\$272,000	0.33%	56	\$1,665,300	1.96%
Oklahoma	12	\$615,500	0.74%	0	\$0	0.00%	12	\$615,500	0.74%
Oregon	19	\$811,500	1.05%	11	\$168,500	0.20%	30	\$980,000	1.26%
Pennsylvania	78	\$2,482,500	2.97%	14	\$382,150	0.46%	92	\$2,864,650	3.43%
Puerto Rico	7	\$528,900	0.63%	0	\$0	0.00%	7	\$528,900	0.63%
Rhode Island	12	\$730,000	0.87%	3	\$75,000	0.09%	15	\$805,000	0.96%
South Carolina	14	\$688,100	1.06%	2	\$69,000	0.07%	16	\$757,100	1.13%
South Dakota	7	\$500,500	0.71%	1	\$60,000	0.07%	8	\$560,500	0.78%
Tennessee	20	\$258,900	0.31%	3	\$60,500	0.07%	23	\$319,400	0.42%
Texas	57	\$2,386,100	2.86%	14	\$461,500	0.55%	71	\$2,847,600	3.41%
Utah	15	\$782,000	0.94%	1	\$20,000	0.02%	16	\$802,000	0.96%
Vermont	13	\$600,900	0.72%	3	\$70,000	0.08%	16	\$670,900	0.80%

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**National Endowment for the Arts
FY 2000 AWARDS by STATE**

STATE	AWARDS LESS MULTISTATE AWARDS ¹			MULTISTATE AWARDS ²			GRAND TOTAL AWARDS		
	No.	Amount Awarded	% of Grand Total Dollars	No.	Amount Awarded	% of Grand Total Dollars	No.	Total Amount Awarded	% of Grand Total Dollars
Virgin Islands	2	\$245,636	0.29%				2	\$245,636	0.29%
Virginia	14	\$739,700	0.89%	7	\$431,500	0.52%	21	\$1,171,200	1.40%
Washington	42	\$1,317,700	1.58%	10	\$329,000	0.39%	52	\$1,646,700	1.97%
West Virginia	13	\$568,100	0.68%	1	\$25,000	0.03%	14	\$593,100	0.71%
Wisconsin	20	\$798,200	0.96%	3	\$45,000	0.05%	23	\$843,200	1.01%
Wyoming	7	\$560,100	0.67%	0	\$0	0.00%	7	\$560,100	0.67%
Grand Totals	1,467	\$87,686,752	69.06%	486	\$25,846,268	30.94%	1,953	\$83,533,020	100.00%

¹ Fiscal Year 2000 Awards include: grants to organizations; grants to individuals; State and Regional Partnership Agreements; Folk Arts Infrastructure grants; ArtsREACH; Creative Links; and Leadership Activities.

² Multistate Awards include grants to Regional Arts Organizations.

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Alpha by State

National Endowment for the Arts
FY 1999 AWARDS

STATE	Total Awards			Multi-State Awards			Total Awards LESS Multi-State Awards		
	No.	Amount Awarded	% of Grand Total Dollars	No.	Amount Awarded	% of Grand Total Dollars	No.	Amount Awarded	% of Grand Total Dollars
Alabama	15	\$608,540	0.97%	1	\$53,000	0.06%	14	\$765,640	0.81%
Alaska	12	\$703,100	0.85%	1	\$7,000	0.01%	11	\$696,400	0.84%
American Samoa	1	\$255,700	0.31%	0	\$0	0.00%	1	\$255,700	0.31%
Arizona	20	\$947,765	1.14%	5	\$113,000	0.14%	15	\$834,765	1.01%
Arkansas	8	\$597,288	0.71%	0	\$0	0.00%	8	\$597,288	0.71%
California	218	\$5,985,890	8.42%	49	\$1,588,388	1.89%	168	\$4,397,502	6.53%
Colorado	18	\$1,751,400	2.11%	5	\$1,019,900	1.23%	13	\$731,500	0.88%
Connecticut	21	\$1,315,100	1.68%	7	\$364,000	0.44%	14	\$951,100	1.15%
Delaware	8	\$594,800	0.72%	0	\$0	0.00%	8	\$594,800	0.72%
District of Columbia	66	\$4,052,826	7.29%	23	\$1,597,611	1.92%	43	\$4,456,014	5.37%
Florida	26	\$1,213,170	1.53%	2	\$38,000	0.05%	23	\$1,235,170	1.49%
Georgia	1	\$288,100	0.32%	0	\$0	0.00%	1	\$288,100	0.32%
Hawaii	10	\$765,200	0.95%	4	\$233,800	0.28%	6	\$561,400	0.69%
Idaho	8	\$595,500	0.72%	0	\$0	0.00%	8	\$595,500	0.72%
Illinois	64	\$2,267,300	3.78%	18	\$493,000	0.60%	46	\$1,768,300	2.16%
Indiana	18	\$761,683	0.92%	3	\$5,000	0.01%	18	\$756,683	0.91%
Iowa	13	\$747,700	0.90%	3	\$13,500	0.04%	12	\$734,200	0.86%
Kansas	13	\$639,600	0.77%	3	\$40,000	0.05%	12	\$599,600	0.72%
Kentucky	15	\$953,300	1.15%	4	\$185,000	0.22%	11	\$768,300	0.83%
Louisiana	16	\$912,600	1.09%	4	\$137,500	0.17%	12	\$775,000	0.93%
Maine	18	\$785,400	0.95%	1	\$15,000	0.02%	15	\$760,400	0.94%
Maryland	24	\$2,654,864	3.44%	5	\$1,478,400	1.79%	16	\$1,376,464	1.65%

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National Endowment for the Arts
FY 1999 AWARDS

STATE	Fiscal Year 1999 Awards ¹						Total Awards LESS Multi-State Awards		
	Total Awards			Multi-State Awards			Total Awards LESS Multi-State Awards		
	No.	Amount Awarded	% of Grand Total Dollars	No.	Amount Awarded	% of Grand Total Dollars	No.	Amount Awarded	% of Grand Total Dollars
Massachusetts	69	\$3,845,840	4.39%	12	\$1,339,800	1.61%	54	\$2,306,040	2.78%
Michigan	16	\$1,010,500	1.22%	3	\$15,000	0.08%	13	\$995,500	1.13%
Minnesota	44	\$2,653,000	3.18%	11	\$1,149,700	1.38%	33	\$1,493,300	1.80%
Mississippi	11	\$670,192	0.81%	0	\$0	0.00%	11	\$670,192	0.81%
Missouri	26	\$1,748,400	2.14%	6	\$783,000	0.94%	20	\$965,400	1.18%
Montana	19	\$652,150	0.78%	2	\$20,000	0.02%	17	\$632,150	0.76%
Nebraska	11	\$727,500	0.88%	2	\$25,000	0.03%	9	\$702,500	0.85%
Nevada	10	\$644,300	0.78%	1	\$50,000	0.06%	9	\$594,300	0.72%
New Hampshire	8	\$609,500	0.73%	0	\$0	0.00%	8	\$609,500	0.73%
New Jersey	22	\$1,112,100	1.34%	7	\$136,000	0.16%	15	\$976,100	1.18%
New Mexico	22	\$948,800	1.12%	1	\$25,000	0.03%	21	\$923,800	0.99%
New York	361	\$13,966,000	16.36%	134	\$5,612,600	6.78%	227	\$7,973,400	9.60%
North Carolina	17	\$1,050,800	1.27%	2	\$20,000	0.02%	15	\$1,030,800	1.24%
North Dakota	8	\$554,663	0.67%	0	\$0	0.00%	8	\$554,663	0.67%
Northern Mariana	1	\$239,300	0.29%	0	\$0	0.00%	1	\$239,300	0.29%
Ohio	28	\$1,554,600	1.87%	6	\$208,000	0.25%	22	\$1,346,600	1.62%
Oklahoma	12	\$537,800	0.77%	1	\$7,500	0.01%	11	\$530,300	0.76%
Oregon	21	\$977,700	1.18%	0	\$138,000	0.17%	15	\$839,700	1.01%
Pennsylvania	76	\$2,818,600	3.39%	15	\$328,500	0.40%	61	\$2,489,100	3.00%
Puerto Rico	6	\$486,500	0.60%	0	\$0	0.00%	6	\$486,500	0.60%
Rhode Island	13	\$768,822	0.93%	2	\$46,000	0.05%	11	\$724,822	0.87%
South Carolina	15	\$904,468	1.09%	2	\$65,000	0.08%	13	\$839,468	1.01%
South Dakota	11	\$674,100	0.81%	2	\$90,000	0.11%	9	\$584,100	0.70%

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National Endowment for the Arts
FY 1999 AWARDS

Fiscal Year 1999 Awards ¹											
STATE	Total Awards			Multi-State Awards			Total Awards LESS Multi-State Awards				
	No.	Amount Awarded	% of Grand Total Dollars	No.	Amount Awarded	% of Grand Total Dollars	No.	Amount Awarded	% of Grand Total Dollars		
Tennessee	23	\$903,848	1.09%	4	\$86,000	0.12%	19	\$807,848	0.97%		
Texas	60	\$2,327,840	2.90%	10	\$382,000	0.35%	50	\$2,035,840	2.48%		
Utah	14	\$830,875	1.00%	2	\$20,000	0.02%	12	\$810,875	0.88%		
Vermont	11	\$608,700	0.73%	1	\$35,000	0.04%	10	\$574,700	0.69%		
Virgin Islands	3	\$275,600	0.33%	0	\$0	0.00%	3	\$275,600	0.33%		
Virginia	18	\$819,200	1.11%	5	\$87,500	0.11%	13	\$731,700	1.00%		
Washington	45	\$1,572,360	1.89%	5	\$100,500	0.12%	40	\$1,471,860	1.77%		
West Virginia	11	\$575,275	0.69%	1	\$25,000	0.03%	10	\$550,275	0.66%		
Wisconsin	18	\$760,700	0.94%	2	\$27,500	0.03%	14	\$733,200	0.81%		
Wyoming	10	\$622,088	0.76%	0	\$0	0.00%	10	\$622,088	0.75%		
American Abroad	1	\$20,000	0.02%	0	\$0	0.00%	1	\$20,000	0.02%		
Totals	1,672	\$83,022,898	100.00%	387	\$19,468,827	23.44%	1,285	\$63,554,071	76.56%		

¹ Fiscal Year 1999 Awards include: grants to organizations (including AMBAREACH); grants to individuals (Literature, National Heritage, and Jazz Masters Fellowships); State & Regional Partnership Agreements; Leadership Activities; and cooperative agreements and contracts.

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13. Another reform aimed at increasing the distribution of grants around the nation increased the percentage to 40%. What has been the impact of increasing the state portion?

Under the terms of the Endowment's enabling legislation, three quarters of the additional funds available for the states were apportioned equally among the 52 states and jurisdictions with populations over 200,000 and used to support state arts plans. The funds were a useful addition to the resources available to carry out state arts plans. Of the additional funds not designated for equal distribution, the largest portions went to support state plans as they addressed needs of rural, inner city, and other underserved areas, as well as touring performing arts events.

Unfortunately, increasing amounts available to states has reduced the agency's ability to distribute direct grants as widely as the congress would like.

The Endowment was able to provide only 22 percent of the support requested by arts organizations under the organizational grant categories in FY 2001. This percent is up slightly from the 20.9 percent funded in 2000. However, this small increase is because the Arts Endowment expanded the number of small grants awarded, encouraged applicants to be more realistic in the amount of funding they request, and lowered the maximum grant amount organizations could apply for.

14. How many of the State arts councils receive state government funding? What percentage of the state arts councils budgets come from state and what percentage from the federal government?

ANSWER 14. See the attached chart, Exhibit C.

**Preliminary Data
Per Capita Rankings for State Arts Agencies, Fiscal Year 2001**

States and Special Jurisdictions	Total Legislative Appropriations	Per Capita Amount	Per Capita Rank	Appropriations w/out Line Items	Per Capita Amount	Per Capita Rank	Total SAA Revenue	Per Capita Amount	Per Capita Rank
Alabama	\$ 6,980,875	\$1.59	14	\$ 4,800,875	\$1.10	17	\$ 7,476,275	\$1.71	20
Alaska	531,400	0.89	29	531,400	0.89	27	1,050,566	1.71	19
Arizona	3,888,300	0.62	30	3,888,300	0.62	28	4,814,525	1.01	37
Arkansas	1,354,857	0.53	42	1,354,857	0.53	42	2,175,910	0.85	42
California	68,083,400	2.05	12	\$1,809,000	0.56	25	68,900,500	2.08	14
Colorado	2,257,572	0.72	32	2,257,572	0.72	32	2,257,572	0.72	32
Connecticut	11,894,500	3.22	8	11,894,500	3.22	8	11,894,500	3.22	8
Delaware	1,894,500	3.22	8	1,894,500	3.22	8	1,894,500	3.22	8
Florida	9,630,674	2.94	9	9,630,674	2.94	9	9,630,674	2.94	9
Georgia	20,436,355	3.12	10	20,436,355	3.12	10	20,436,355	3.12	10
Hawaii	851,200	0.78	31	851,200	0.78	30	1,446,100	1.16	33
Idaho	19,808,450	1.69	19	13,120,700	1.08	19	20,403,350	1.88	21
Illinois	3,842,783	0.65	37	3,842,783	0.65	37	4,362,583	0.73	46
Indiana	1,708,406	0.60	41	1,708,406	0.60	40	2,693,272	0.94	39
Iowa	1,838,223	0.62	38	1,838,223	0.62	38	1,838,223	0.62	38
Kentucky	1,139,900	0.70	28	1,139,900	0.70	28	1,139,900	0.70	28
Louisiana	1,989,645	1.10	22	1,989,645	1.10	16	5,267,243	2.17	20
Maine	757,866	0.64	36	757,866	0.64	38	1,294,386	1.03	38
Maryland	10,891,526	3.02	11	10,891,526	3.02	7	10,891,526	3.02	11
Massachusetts	17,780,458	2.88	4	17,780,458	2.88	3	19,251,258	3.12	5
Michigan	25,838,200	2.62	7	25,838,200	2.62	5	26,418,000	2.68	9
Minnesota	18,094,000	2.74	5	18,094,000	2.74	4	13,725,300	2.87	7
Mississippi	2,898,833	1.05	25	2,898,833	1.05	20	3,793,833	1.37	29
Missouri	11,971,858	2.19	11	5,612,121	1.03	22	12,465,058	2.28	12
Montana	265,938	0.68	35	265,938	0.62	40	745,687	1.99	16
Nebraska	1,459,722	0.81	28	1,459,722	0.81	21	2,239,804	2.58	22
Nevada	292,711	0.72	34	292,711	0.72	35	916,676	2.39	23
New Hampshire	628,845	0.71	32	628,845	0.71	32	979,664	2.98	24
New Jersey	27,059,051	2.91	6	27,059,051	2.91	6	27,059,051	2.91	6
New Mexico	1,821,000	1.10	24	1,771,000	1.02	23	2,765,300	1.59	24
New York	65,738,000	3.12	3	64,600,000	3.00	2	57,422,900	3.16	4
North Carolina	7,858,031	1.03	27	7,858,031	1.03	21	8,524,828	1.11	34
North Dakota	453,262	0.72	33	453,262	0.72	32	988,004	1.56	25
Ohio	16,279,685	1.45	16	16,279,685	1.45	10	17,373,497	1.54	26
Oklahoma	1,259,967	0.62	31	1,259,967	0.62	31	1,259,967	0.62	31
Oregon	1,111,458	0.65	33	1,111,458	0.65	34	2,138,374	2.38	27
Pennsylvania	13,200,000	0.75	29	13,200,000	0.75	29	13,200,000	0.75	29
Rhode Island	1,483,277	0.73	30	1,483,277	0.73	31	1,483,277	0.73	30
South Carolina	25,318,838	2.78	12	25,318,838	2.78	12	25,318,838	2.78	12
South Dakota	512,485	0.70	35	512,485	0.70	34	1,052,585	1.45	28
Tennessee	2,905,500	0.42	47	1,891,800	0.34	48	5,488,500	1.00	38
Texas	4,739,335	0.24	50	4,739,335	0.24	50	5,404,455	0.27	50
Utah	2,776,300	1.30	19	2,676,300	1.26	14	4,162,300	1.66	18
Vermont	835,966	1.41	17	835,966	0.88	26	2,080,000	3.47	3
Virginia	1,931,173	0.65	33	1,931,173	0.65	33	1,931,173	0.65	33
Washington	1,638,000	0.66	36	1,638,000	0.66	36	1,638,000	0.66	36
West Virginia	2,949,474	0.65	34	2,949,474	0.65	35	2,949,474	0.65	34
Wisconsin	2,552,000	0.68	34	2,552,000	0.68	34	2,552,000	0.68	34
Wyoming	255,985	0.68	34	255,985	0.68	34	255,985	0.68	34
American Samoa	36,500	0.59	(47)	36,500	0.59	(46)	292,200	4.73	(7)
District of Columbia	1,900,000	3.88	(5)	1,900,000	3.66	(4)	3,965,800	6.49	(3)
Guam	478,866	2.98	(2)	478,866	2.98	(6)	793,986	4.88	(6)
Northern Marianas	272,851	5.10	(2)	272,851	5.10	(1)	511,161	9.54	(1)
Puerto Rico	17,934,000	4.70	(3)	15,972,000	4.18	(3)	28,946,900	7.06	(2)
Virgin Islands	187,000	1.72	(17)	187,000	1.72	(14)	392,835	4.04	(8)
Total	447,407,402	\$1.84		\$4,447,885	\$1.85		504,732,330	\$1.84	

Notes:
Ranks for states are out of 50 states. Jurisdictional ranking in parentheses is out of all 56 arts agencies.
Total SAA Revenue column includes legislative appropriations, NEA dollars, state transfer funds, private dollars, etc.

**EXHIBIT C
QUESTION 14**

15. Another reform prohibits grants to individuals because the previous problem grants were always individual grants or grants obtained through sub-granting procedures. What has been the impact of this 1996 policy change? How did it affect the geographic distribution of your grants?

ANSWER 15: The prohibition on grants to individual artists has reduced Federal support for several artistic disciplines, such as choreography, music composition, and visual arts (including painting, photography and sculpture). This loss of a major source of support has not been made up by foundation or corporate supporters.

The number of congressional districts served was reduced significantly when individual artist grants were abolished. Fellowships reached every state in the country, and artists of all ages. The prohibition on fellowships also has had the effect of decreasing the geographic diversity of Endowment grants, since individual artists (e.g., painters, sculptors, designers, craft artists, folk artists, composers, choreographers, etc.), can live anywhere, unlike the institutions that support their work, which most often require an urban community to sustain them. In particular, the number of grants supporting artist in rural areas has decreased

16. Individual grants have been maintained for literature fellowships, for National Heritage fellowships, and for American Jazz Masters fellowships. How many grants in these categories were given in FY 2000, to date in FY 2001, and are anticipated at the requested level for FY 2002?

ANSWER 16: In FY 2000 the Endowment supported 41 Fellowships in Fiction and Creative Nonfiction for a total of \$820,000. In FY 2001 the agency awarded 40 Poetry fellowships for a total of \$800,000. At this time, we anticipate being able to fund another 40 Fiction and Creative Nonfiction fellowships at \$800,000 in FY 2002.

In FY 2000, 13 National Heritage Fellowships were awarded for a total of \$130,000. In FY 2001, 13 National Heritage Fellowships have been approved for a total of \$130,000. In FY 2002, we plan to award another \$130,000 to 13 new National Heritage Fellows.

In both FY 2000 and FY 2001, the Endowment awarded three grants to American Jazz Masters for a total of \$120,000 (\$60,000 in each fiscal year). For FY 2002, we plan to award grants to three more American Jazz Masters, for a total of \$60,000.

17. What has been the impact of the prohibition on seasonal support to arts institutions? To what extent are you awarding grants that go to helping an

institution's season but for which the application has provided a detailed list of all performances?

ANSWER 17: NEA provides no seasonal support grants regardless of how much information is provided. All grants are for specific project support. Even if, theoretically speaking, we were to offer seasonal support, the size of our budget does not support large enough grants to support more than discrete components of a season of activities. The increased level of detail in project-specific applications generally strengthens the applications from organizations able to plan in advance, and by comparison weakens the others.

In some cases, organizations have planned detailed projects, which then change due to outside circumstances (artists or venues become unavailable, tours are re-scheduled, other funding falls through, etc.). Applicant organizations notify the Endowment whenever these changes occur, but they cannot always be resolved by the time the application is reviewed. In other instances, there are legitimate cases where our reduced levels of financial support necessitate revisions to the scale or scope of the originally approved project. Grantee requests for project changes are reviewed by agency staff through a formal amendment process.

Clearly, arts institutions would prefer to receive seasonal support grants because they are so much more flexible and do not require adherence to a specific NEA-approved project. NEA nevertheless supports the ban on seasonal support as a necessary accountability reform.

The impact of the prohibition on seasonal support has varied by field and institutional size. It has hit small, grass-roots organizations the hardest, because they often plan projects in far shorter time periods than the 8-12 months required for submission, review and approval of an Arts Endowment application. These small organizations also tend to be the more geographically and ethnically diverse applicants in a particular artistic field, whether it is visual arts, media, dance, folk arts, or literature.

On the other hand, we have heard from major institutions, such as museums, symphony orchestras and opera companies, that loss of seasonal support has destabilized their ability to plan. Support for very similar projects can be high one year and zero the next, which organizations find difficult to deal with as they plan their budgets.

18. Please explain what the NEA has done to support grants for programs to assist at-risk youth.

ANSWER 18. Throughout its 30-year history, the agency has supported programs for youth who have been characterized as at-risk. Initially, this was work that was accomplished through artist residencies, especially in in-school setting, and through other grants supporting arts organizations that served youth. Later, the agency developed a specific program to work exclusively in support of arts-in-education. Currently the agency has several initiatives with other federal agencies (Department of Education, Housing and Urban Development, the Justice Department) to implement joint projects serving "at-risk" youth. In addition to the ongoing agency funding for numerous Education, Access and Heritage and Preservation category projects involving youth, in FY 2000 the agency launched a pilot, "Creative Links: Positive Alternatives for Youth". This project sought to support organizational partnerships between arts organizations and others that were interested in the education of America's school age children. Of the 360 applications received, 156 awards of \$5,000 or \$10,000 were made to organizations in 48 states to support a wide range of projects to benefit young people, many living in difficult situations. As a sampling of youth served, some youth participants were identified as emotionally disturbed, living in homeless shelters, physically challenged, juvenile offenders/incarcerated youth, as well as those who were living in poverty within urban, suburban and rural communities. In combination with educational, mental health, substance abuse, social service, faith-based, health, law enforcement, libraries, and cultural resources, Creative Links implemented meaningful projects to provide positive alternatives for these youth. It is this work that has informed the development of the FY2001 Challenge America component with the same name.

19. Another reform allows the NEA to solicit and invest private funds. How has this gone so far during 1999 and 2000?

ANSWER19: The amount of new monies solicited during FY 2000 was not significant. We were, however, able to invest in U.S. Treasury notes donated funds being held for other activities, and the proceeds of donated stocks subsequently sold on the market during FY 1998 to generate earnings of \$8,501.18 during FY 1999 and \$10,193.33 in FY 2000. We continue to explore ways to improve fund raising in a manner that will not place the Endowment in a position of being a funding competitor.

20. The Congress was also concerned that the NEA grants process left out sizable underserved populations. Do you believe that the work you've done with Challenge America, ArtsREACH, changes in your panel review process have increased the level of grants to underserved areas?

ANSWER 20: Underserved populations are audiences, students or other groups of people or arts organizations that by reason of age, geography,

ethnicity, or economic status are not or historically have not been sufficiently represented in the Arts Endowment's grant pool.

The whole premise of the Administration's Challenge America initiative is to reach out to underrepresented areas with support for arts education, preservation of cultural heritage and arts programming for young people. Throughout Challenge America, the NEA is developing the local arts infrastructure in communities that have not been connected with NEA support in the past, and to make the arts central to the lives of all Americans.

The agency has responded by taking a number of actions to ensure broader distribution of grants to underserved populations. See the answer to Question #3.

21. Annual appropriations bills require that the NEA give grant priority for education, understanding and appreciation of the arts. What are you doing currently in the area of arts education? Is the NEA working with other departments on arts education?

ANSWER 21: For FY 2000 and 2001, we supported Arts Education projects that helped ensure that the arts are an integral part of education, not only for children and young adults during their elementary and secondary school years, but for Americans of all ages, in settings in and outside the formal classroom. The Endowment regards the direct involvement of artists, and wherever appropriate, the use of original works of art and live performances as crucial elements of excellent arts education projects.

During FY 2001, in response to substantial national arts education research published in Gaining the Arts Advantage and Champions of Change, the Endowment staff redesigned the Arts Education grant guidelines to strategically focus on arts learning outcomes, or results, for young people in both school and outside school. For FY 2002, the Endowment is using the Arts Learning goal as a pilot for an outcome or results-based approach to its grants. Throughout this test, the Endowment will work with applicants to determine the best methods for shaping effective projects, measuring results, and implementing future outcome-based funding. The Endowment has identified several possible results that can be achieved through arts learning under three broad outcomes:

- Increased awareness, knowledge, skills and understanding of and through the arts;

- Expanded professional development opportunities for teachers, artists, youth program providers, and others who work with youth; and
- An enhanced policy and program environment for arts learning.

Applicants are asked to state how they will measure their success in meeting these results. Applicants also are asked to think about where they are now in the area of arts learning and how they can work in partnership with others to move to a more effective and sustainable level of engagement. Measuring the results of projects funded by our grants increases understanding of what the Endowment is accomplishing to better the lives of our citizens.

A number of past and current Endowment leadership initiatives in the area of preK-12 arts education have made and are making significant contributions to the arts education field. Among these is the Endowment's catalytic action, along with the U.S. Department of Education, to create and sustain the Arts Education Partnership, a consortium of more than 100 national organizations committed to promoting arts education in elementary and secondary schools throughout the country.

The Arts Education Partnership has become an invaluable source of information to state departments of education, arts agencies, and arts education alliances seeking to integrate the arts into comprehensive school reform. It presently maintains task forces of its member organizations in the areas of arts assessment, early childhood development and education, teacher education and professional development, and research. In the latter area, the Partnership published and widely disseminated *Gaining the Arts Advantage*, a first-of-its-kind research study of school districts that value the arts as basic to education.

During the fall of 1998, the Endowment joined with the Department of Education and the National Assessment Governing Board (NAGB) in announcing the results of the first NAEP arts assessment in more than 20 years. Funding from the NEA and a private-sector partner between 1992 and 1994 was catalytic in accomplishing the initial development phase of this national assessment of what eighth-grade students know and are able to do in the arts. Since 1994, the Endowment has continued to assist NAGB, the Education Department and its contractors in developing and implementing this important part of "The Nation's Report Card." With the input of the Endowment as well as the Arts Education Partnership in the last year, the Governing Board has scheduled the next NAEP arts assessment for 2007.

In addition, NEA is partnering with the Department of Education on a joint Media Literacy Program which awarded 10 grants during FY 2000 for a

youth violence prevention project that will support the development of educational programs in media literacy. The project is designed to enable students to 1) analyze the violent messages they receive through television, video games, movies and the Internet, and 2) create their own media-based arts projects through use of film, video website design, etc. The idea is to show young people that they can produce better and more positive programming.

During the 1999-2000 school year, the Department of Education, in partnership with the Arts Endowment, surveyed American elementary and secondary schools to determine the conditions of teaching and learning in the arts. A report of the findings of this survey will be widely disseminated by the Education Department later this year.

National Council on the Arts

22. Other Congressional reforms reduced the size of the National Council on the Arts and also placed members of Congress on the Council as non-voting members. Please let us know how this has worked? Please list the congressional members during the last Congress and the members for the 107th Congress. For the record, please list the members of the National Council on the Arts, their terms, and their special expertise relevant to the Council.

ANSWER 22: We believe the addition of members of Congress to the National Council on the Arts has been a positive experience for the agency and for the members of the Council. We believe that the opportunity to participate up-close in policy discussions and the grant review process gave the members of Congress a better understanding and appreciation of the agency and the way it serves the American public. At the same time, hearing from members of Congress has given the agency staff and the other members of the Council a better understanding of the congressional perspective toward the agency and what it does.

Unfortunately, members of Congress are sometimes unable to attend the thrice-annual meetings. We sometimes lack sufficient representation at our Council meetings to ensure adequate consideration of our agency's grant proposals. We are exploring ways to mitigate this problem.

The Congressional members during the 106th Congress were Rep. Cass Ballenger, Rep. Nita Lowey, Senator Jeff Sessions, Senator Mike DeWine and Senator Richard Durbin. One appointment given to the Speaker of the House remained vacant.

All three Senators serving in the 106th Congress were reappointed to another term in the 107th. None of the House members have yet been appointed by the Speaker or the Minority Leader.

Gordon Davidson – Theater producer – expires 2004
 Patrick D. Davidson – Television Producer – expired 2000
 Mike DeWine – U.S. Senator – expires 2002
 Richard J. Durbin – U.S. Senator – expires 2002
 Terry H. Evans – Photographer – expired 2000
 Hsin-Ming Fung – Architect – expires 2001
 Joy Harjo – Poet and Musician – expires 2002
 Ronnie F. Heyman – Patron/Trustee – expired 2000
 Nathan Leventhal – Arts Presenter – expires 2002
 Marsha Mason – Actress and Director – expires 2002
 Cleo Parker Robinson – Dance Company Owner
 and Choreographer – expires 2004
 Judith O. Rubin – State Arts Council Member – expired 1998
 Jeff Sessions – U.S. Senator – expires 2002
 Joan Specter – Arts Patron – expires 2002
 Richard J. Stern – Patron/Trustee – expired 2000
 Luis Valdez – Theater Artistic Director – expired 2000
 Townsend D. Wolfe, III – Museum Director – expired 2000
 Vacancy – U.S. Representative
 Vacancy – U.S. Representative
 Vacancy – U.S. Representative

23. We note that the President's budget request includes language to expand the size of the National Council. Why is this necessary?

ANSWER 24. The President's budget does not include language to expand the size of the National Council on the Arts.

Alternative Funding

24. Given the millions each year that are contributed to the arts by the states, why is it still important to maintain or increase federal funds?

ANSWER 24: Each state arts agency operates largely within its own borders and looks to the Endowment for national leadership. Such leadership is essential if America is to recognize, celebrate and preserve its common cultural heritage. We must continue to support the national distribution networks that cross state lines to make the arts accessible, whether through performing and visual arts touring, literary distribution, the arts on television and radio, or new technology. It is essential that we continue to work with other federal agencies on initiatives that use the arts

to improve education, develop rural communities, create jobs, or offer positive alternatives to youth at risk. We must develop national arts partnerships with foundations and the commercial sector to address these and other needs. Finally, national leadership is essential if we are to identify, support, and share the most exemplary arts programs that our nation has to offer. These are federal roles that state arts agencies are not in a position to fill. With adequate resources at the federal level, the National Endowment for the Arts and the state arts agencies constitute a very effective network for addressing shared priorities of arts education; access to the arts, alternatives for youth at risk, cultural heritage/preservation, and community arts partnerships.

25. Your budget justification indicates that you are beginning to receive donations. What progress have you made at generating ideas for various private funding sources to benefit the endowment?

ANSWER 25: Pursuant to its statutory gift acceptance authority the agency has received private donations over the years, which it has used to supplement appropriated funds in carrying out its overall mission.

The NEA was created by Congress to allow the Federal government to participate in sponsoring and supporting the nation's nonprofit arts organizations in order to give more Americans the opportunity to experience the creative process. The Chairman does not believe that the NEA should actively compete for private dollars with the arts organizations it is supposed to be helping. Instead he has tried to develop specific projects in which the agency could generate private sector interest.

Songs of the Century, which Chairman Ivey discussed during the hearing, is an example of this type of project. Songs of the Century will make the most significant recordings of the past 100 years available to students through Internet streamed audio and a special CD. The 365 recordings, selected by a vote of experts and music industry professionals, will be organized on a "song-a-day" basis, and will be supported by curriculum materials designed to connect classic performances with classroom music, literature, history and science lessons. America On-Line and Scholastic, Inc. are also partners on this project.

Songs of the Century is being funded almost entirely by the private sector – the Recording Industry Association of America, Scholastic and AOL. In addition to their financial commitment, which is substantial, this project is also about how private industry can begin to take a more serious role in making the nation's cultural patrimony available to more people. In this case, the record industry serves as caretaker of a significant part of our

nation's cultural heritage and is working with us to share this heritage with millions of schoolchildren.

26. We understand that the Department of Education collaborates with the NEA on an Arts in Education program targeted at youth violence problems and on a new program to develop model arts education programs. These efforts were funded with over \$12 million from the Labor/HHS/ED appropriations act in FY 2001. What is the involvement of the NEA in these efforts? Do you know what funding is requested by the President for the Department of Education to further efforts similar to these?

ANSWER 26. These are joint NEA/Department of Education collaborations, managed by the Department with assistance and input from the NEA. The projects were conceived by the administration recognizing NEA's expertise in the area of arts education.

The first project focuses on the connection between popular media and youth violence. Grants go to schools in partnership with non-profit arts organizations, and support development of media literacy programs. The purpose of the program is to (1) enable students to analyze critically the violent messages transmitted through media outlets like television, movies, video games and the Internet; and (2) enable students to create their own media-based arts projects through the use of film, video, website design etc. Ten grants totaling \$990,000 were awarded by the Department of Education in FY 2000. In FY 2001, the initiative is continuing at an expanded funding level of \$2 million (double last year).

The second NEA/Department of Education collaboration is a jointly-sponsored grant competition to award three-year grants to ten curriculum-based Arts Education Model Sites that represent strong partnerships between schools and arts organizations and address the following goals: 1) identify preK to 12 arts education programs or projects with records of success in reaching high standards in arts teaching and learning; 2) document their developments and achievements, concentrating on information that will most benefit others wishing to adapt the programs to their communities; and 3) facilitate the replication/adaptation of the exemplary programs/practices through technical assistance by the model sites to those wishing to replicate or adapt them. For both projects, NEA provides technical support in application management, panel selection, provision of advice to applicants and other pre-selection work.

In the President's FY 2002 budget request for the Department of Education, there is no specific funding proposed for arts education programs. It has been rolled into an Innovation Grants category with multiple other funding areas.

27. We understand that NEA also partners with the Department of Justice in its youth programs. How much funding was involved in FY 2001 and what was NEA's role? Do you know what funding is requested by the President for DOJ to further efforts similar to this?

ANSWER 27: The NEA has three on-going partnerships with the Department of Justice that support arts programming for youth, who have limited opportunities.

The NEA obligated \$62,000 to the Justice Department in FY 01 for the Partnership for Conflict Resolution Education in the Arts. This joint initiative is designed to strengthen arts programming for youth at risk by providing professional training in conflict resolution skills to the artists, staff, administrators and youth mentors working in after school and summer programs.

Workshop participants are instructed in how to integrate conflict resolution principles and processes into their programs and how to build upon or establish partnerships with schools, the juvenile justice system, parks and recreation programs, and other community-based organizations. As a result of the training, arts practitioners are able to help young people deescalate conflicts, understand multiple perspectives, express points of view and create solutions that provide for mutual gain. With understanding and skill, youth can become peacemakers who see conflict as an opportunity for learning and growth. Ten program sites are chosen yearly to receive the training.

The NEA plays a significant role in the planning and coordination of the conflict resolution education training. First the NEA develops the program guidelines and application form with input from the Office of Juvenile Justice and Delinquency Prevention (OJJDP). Next, the NEA conducts an extensive internal review of the applications and makes recommendations to OJJDP for the ten sites that will receive this training.

The NEA also works with the National Center for Conflict Resolution Education (the Justice Department's contractor) on the planning and evaluation of the training. This year the NEA is working with OJJDP and the National Center on a training manual that will provide the arts community with information on conflict resolution education principles, resources for developing programs and sample lesson plans for teaching concepts and skills.

While NEA's financial commitment for the two-year Arts Programs for Juvenile Offenders in Detention and Corrections initiative was met earlier, NEA staff continue to be actively involved in all phases of this program, participating in planning sessions, providing guidance to the programs and

the youth arts technical assistance provider, and working with OJJDP on a handbook that will be ready for distribution in late fall.

The youth offenders initiative supports six projects: three pilots have established an arts program in juvenile detention or correction facilities; and three existing ones have enhanced their arts programs in juvenile detention or correctional facilities by serving more youth and/or offering a continuation of services after the youth is released. Through technical assistance, which the NEA helped fund, these sites have strengthened their networks and exchanged information on innovative practices and effective partnerships to serve youth. The objectives of the program are to enhance youths' cognitive, linguistic, social and civic development; and to provide and coordinate collaborative arts programs in the community for juveniles when they come out of these correctional programs.

The two-year Arts Programs for At-Risk Youth partnership supports three pilot sites to develop, implement, and assess an arts program for youth at risk of delinquency and other problem behaviors during after school hours and the summer months. The programs combine professional arts training for youth with development of pre-employment skills, communication skills, and summer jobs or paid internships. Sites work to foster parental involvement and develop linkages to community resources that will help facilitate the youth's transition into the workforce as well as increase the number of positive role models in their lives.

The NEA financial obligation for this partnership was met previously, however, the NEA continues to play an active role in the ongoing management of this collaboration. In so doing, the NEA set up a private web site on the agency server where the program sites are able to share best practices and receive technical assistance. The NEA continues to update and upgrade the site. The NEA also participates in regular conference calls and meetings with OJJDP and the technical assistance provider.

OJJDP Budget: The Administration's FY 2002 budget provided level funding for OJJDP. Future partnerships with the NEA may be considered. In addition the NEA is a member of the OJJDP Coordinating Council.

Funding Priorities

28. If you were to receive a \$5 million increase over the enacted funding, what would be your priority for this funding?

ANSWER 28: The funds would be used to expand the outreach efforts begun this year under the Challenge America project.

29. What has been the impact of eliminating the matching grants category?

ANSWER 29: While there was no particular difference in the types of projects that received matching grants as opposed to the other appropriation account, the difference lay in the size of the organization and the project.

It is important to note that nearly all NEA grants are matched at least 1:1. So-called matching grants, however, were required to be matched 3:1. In FY 1996, the Congress restricted the Endowment's ability to make awards in support of a grantee's season of activity. Prior to that time, grant applications that requested support for a grantee's season often had large project budgets that could easily accommodate the use of the matching grants requiring the 3:1 match. With the switch to project grants, the project budgets decreased, thus diminishing the arts organization's ability to raise the required 3:1 match.

The Endowment is reaching out to smaller and more diverse organizations nationwide. Because it is more difficult for smaller organizations to meet the required 3:1 match, we believe that elimination of the matching grant category has improved the Endowment's flexibility and enabled the agency to make more grants to smaller organizations, as Congress has asked us to do.

30. Is it a Federal responsibility to provide funds to support endowments to various arts groups?

ANSWER 30: Most arts organizations are under-capitalized. Endowments can be very meaningful to these organizations by providing a measure of security and permanence. Lack of financial capital constrains artistic vision and places undue reliance on annual fundraising efforts.

In the sense that the Endowment is an investment in America's living cultural heritage, the NEA believes that helping arts organizations serve the people is part of its basic mission. Accordingly, we believe support for endowment-building is an appropriate federal activity. At the same time, the agency does not currently have sufficient discretionary grant funds to continue making endowment grants. Organizational Capacity division grants (formerly Planning and Stabilization grants), begun in FY 2001 and continued in FY 2002, support organizational management, leadership and professional development; managerial technical assistance; and implementation of strategies to increase the leadership capacity of arts organizations.

31. What are your specific plans for the organizational stability grant effort? What was the result of your evaluation of this category's effectiveness?

ANSWER 31: In 1999, the Endowment conducted a series of ten colloquia to explore the most effective means to foster organizational stability. Based on the results of those meetings, two funding mechanisms were developed to help strengthen the organizational capacity of arts institutions.

Within the Grants to Organizations program, the Organizational Capacity goal now supports organizations that serve a broad constituency of arts organizations. Priority is given to projects that develop future arts leaders or enhance the skills of those who are already working in the field. This emphasis responds to a recurrent concern expressed throughout the Planning and Stabilization reassessment colloquia. In addition, the Endowment remains committed to projects that are designed to help multiple arts organizations become more effective and adaptable. The first round of 60 Organizational Capacity grants, totaling \$2,272,000, has just been awarded for FY 2001.

A subset of Organizational Capacity will focus on the use of technology by arts organizations. Resources for Change: Technology will award 15 to 20 grants to a diverse group of arts organizations (different types, sizes, locations, and artistic disciplines) for the research and development of technological projects that can be shared with others in the field. The first round of Resources for Change applications is currently under review. Grants will be awarded for multi-year projects. It has not yet been determined whether this initiative will be offered again in the future.

As we rely more and more on arts organizations to provide important services in the community – arts education, after-school programs for youth-at-risk, cultural diversity, learning opportunities, etc. – it is critical that we support the capacity of these organizations to address their core missions as well as these important community services. We would like to expand our funding in this area in the future if additional funds become available for projects that assure the continued vitality of arts organizations.

Programs and Grants

32. You have stated key reasons for keeping the NEA include competitive grants and providing national recognition of artistic excellence and merit.

Has competition and selectivity been enhanced now that the NEA is funding a lower proportion of requests?

ANSWER 32: The Arts Endowment is working with a paradox. On the one hand, we have an increasing number of applications and larger overall request levels than we have had in several years. On the other hand, we are also committed to awarding more grants to increase the impact of our limited funds and increase access to the arts for more Americans. With flat budgets, more grants mean smaller grants.

Over the past three years, the average size of an Endowment grant has slipped from about \$33,000 to \$28,000, and then to \$24,500 in FY 2000. The number of applications received in FY 2001 increased by 53 compared to FY 2000 applications. However, the number of FY 2001 applications is 440 more than the applications received in FY 1999. And, the number of FY 2001 recommended grants was up by 25 compared to FY 2000 grants, but by more than 100 compared to the grants awarded in FY 1999. What this means is that many projects are severely underfunded. We have given grants as low as \$5,000 to symphony orchestras. And yet, the prestige of an Arts Endowment grant remains high and may be as important as the cash. In the future, we hope to be able to support excellent projects at a meaningful level in addition to extending our support to every corner of the country.

33. How has NEA enhanced its outreach efforts to increase the diversity of its panels? What has been the outcome of increased diversity?

ANSWER 33: The Arts Endowment long has been committed to geographically and ethnically diverse panels. We constantly are seeking new ways to provide this diversity in the panels that review applications for funding. We periodically contact a variety of service organizations, many of which represent minority groups, such as ATLANT, The Association of American Cultures, Asian American Cultural Council, the National Association of Latino Organizations, and the Network of Cultural Centers of Color, requesting recommendations for panelists. State and Local Arts Agencies also are asked to recommend potential panelists. Arts Endowment staff members, always aware of the agency's interest in maintaining the diversity of its pool of potential panelists, look for candidates as they travel to national, state, and local workshops, make site visits, and attend conferences around the country, particularly in those areas that tend to be under-represented – either on panels or in the applicant pool. In addition, the membership of each proposed panel is carefully reviewed by the Deputy Chairmen to ensure that there is an adequate diversity of representation. Currently, at least 35% of the Endowment's panelists represent minorities.

Through a combination of efforts, the Endowment continues to reach a broad range of institutions. The diversity of representation on panels, regionally and ethnically, strongly supports the efforts to fund projects in previously underrepresented areas. Grants to Alabama have increased from six in FY 97 to 15 in FY 99. While only three institutions in Mississippi were funded in FY 97, 11 received grants in FY 99. Six organizations in Iowa received funding in FY 97, as opposed to 15 in FY 99. The number of grants in Montana grew from six in FY 97 to 19 in FY 99. It should also be mentioned that the increased diversity of our panels has been noted and applauded by panelists themselves.

34. Please provide a map summarizing grant awards during your most recent cycle.

ANSWER 34: See attached map Exhibit D.

National Endowment for the Arts
FY 2000 Direct Grants and Other Awards

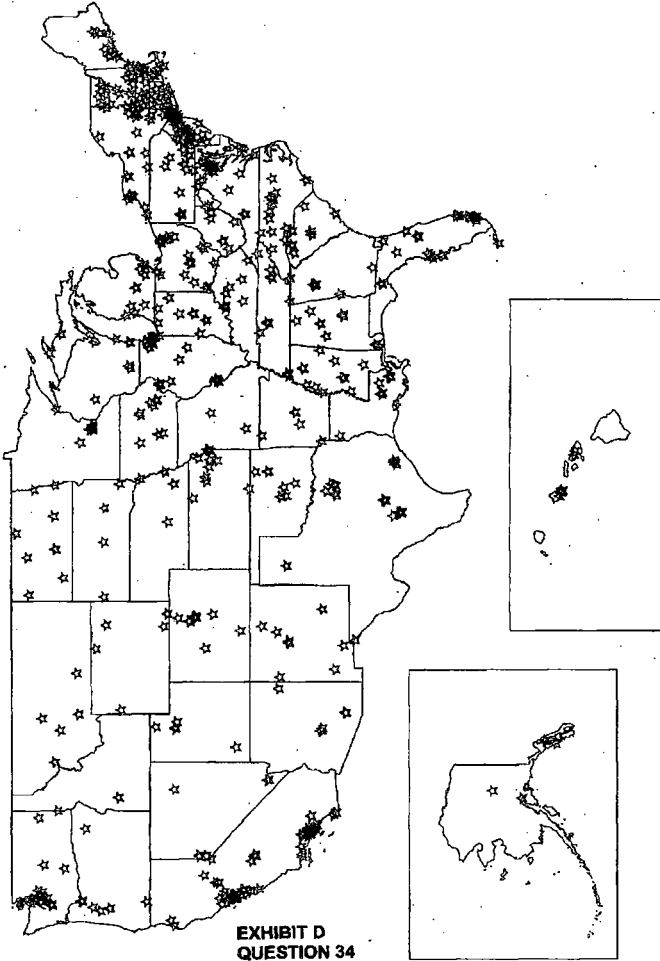


EXHIBIT D
QUESTION 34

35. For fiscal year 2000, please indicate how many grants (number and % of total, \$ amount and % of \$ amount) were awarded to recipients in the New York City, Washington, D. C., Los Angeles, Chicago or San Francisco metropolitan areas.

ANSWER 35. See attached table, Exhibit E.

Answer 35. See attached table, exhibit _____.

CITY	MultiState		Non-MultiState		Totals		
	Awards	% of Total MultiState Awards Dollars	Awards	% of Total Non-MultiState Awards Dollars	Awards Dollars	% of TOTAL Awards Dollars	% of TOTAL Awards Dollars
New York, NY ¹	137	28.19%	186	9.35%	323	16.69%	14.09%
Washington, DC ²	44	9.05%	42	3.31%	86	4.40%	6.04%
Los Angeles, CA	10	2.09%	30	1.51%	40	2.05%	1.43%
Chicago, IL ³	18	3.91%	55	3.27%	74	3.79%	3.19%
San Francisco, CA	22	4.53%	59	2.94%	81	4.16%	3.73%

¹Includes State Partnership grant to New York State Council on the Arts (\$683,000)

²Includes State Partnership grant to DC Commission on the Arts and the Humanities (\$398,300)

³Includes State Partnership grant to Illinois Arts Commission (\$586,900)

36. How much funding has gone towards literature in each of the past three years and how much is planned for FY 2002? Please provide a listing for past efforts.

ANSWER 36: The Arts Endowment supports literature through its five main organizational funding categories as well as individual fellowships for Fiction & Creative Nonfiction, Poetry, and Translation Projects. Over the past three years, the Endowment has supported literary organizations with 272 grants totaling \$5,671,000. During those same three years, the NEA also awarded literary fellowships to 121 writers and translators for a total of \$2,420,000. Therefore, the agency's total support for the field of literature included 393 grants for a total of \$8,091,000. Grant lists for fiscal years 1999, 2000, and 2001 are attached as Exhibits F.

For FY 2002, the Endowment hopes to allocate \$800,000 for Literature Fellowships, consistent with the past few years. Organizational funding is not budgeted by discipline, so it is impossible to predict how much funding literature organizations might receive in FY 2002; however the agency hopes to meet or exceed the \$1,714,000 it awarded to 90 literature organizations in FY 2001.

Literature Grants in Creativity, FY 2001

Creativity grants help create a broad range of new artistic work through commissions and residencies, and support the presentation of performing arts, exhibitions, media arts programs, and literature.

In Literature, 59 grants were awarded totaling \$969,000.

<u>GRANT</u>	<u>AMOUNT</u>
92nd Street Y (Young Men's and Young Women's Hebrew Association) New York, NY	\$45,000
To support The Unterberg Poetry Center's Reading Series, featuring readings, performances, literary tributes and live interviews. The center will present a series of modern adaptations of verse dramas and a comprehensive survey of British literature in partnership with the New York Public Library. (Multi-state)	
Alice James Poetry Cooperative, Inc. Farmington, ME	\$5,000
To support publication and promotion of five books of poetry selected from Alice James Poetry Cooperative's two annual competitions: the Beatrice Hawley Award and the New York/New England Award. Titles will be promoted to more than 8,000 individuals, bookstores, libraries and literary organizations nationwide. (Multi-state)	
Amherst College (on behalf of Folger Shakespeare Memorial) Amherst, MA	\$5,000
To support the Folger Poetry Series at the Folger Shakespeare Library in Washington, DC. The series will present ten readings by poets such as Elizabeth Alexander, Marie Howe, Billy Collins, Carol Ann Duffy, Alberto Rios, and Jim Harrison.	
Another Chicago Magazine (Left Field Press, Inc.) Chicago, IL	\$5,000
To support the publication and national distribution of two issues of <i>Another Chicago Magazine</i> . (Multi-state)	
Arroyo Arts Collective Los Angeles, CA	\$5,000
To support Poetry in the Windows, a project to display multilingual poetry posters in merchants' windows along a major commercial corridor in Northeast Los Angeles,	

**EXHIBIT F
QUESTION 36
(63 PAGES)**

reaching an estimated audience of 15,000 people during May 2001. The collective will distribute 1,000 brochures describing the featured poems.

Aunt Lute Foundation
San Francisco, CA

\$35,000

To support publication and related costs for a new series of books by Native American women. Aunt Lute Books will tour its featured authors to areas of the country with large Native American populations, including Washington, California, Montana, Minnesota and parts of the South and Southwest. (Multi-state)

Bamboo Ridge Press
Honolulu, HI

\$5,000

To support the publication, distribution and promotion of one issue of *Bamboo Ridge*, an annual journal of Hawaiian literature and arts. Authors featured in the issue will promote the journal through readings and workshops at the University of Hawaii and community colleges, educational conferences, bookstores and local organizations throughout Hawaii, Maui and Kauai.

Bard College (on behalf of *Conjunctions*)
Annandale-Hudson, NY

\$10,000

To support publication, circulation and related expenses, including authors' fees, for the 37th and 38th issues of *Conjunctions*. Each issue will be distributed to bookstores throughout the country and to subscribers in more than 40 states and fifteen countries. (Multi-state)

Beyond Baroque Foundation
Venice, CA

\$10,000

To support Site & Beyond, a seven-month program of literary activities reaching more than 10,000 individuals throughout the Los Angeles area. Beyond Baroque will expand its reach to present readings, residencies and workshops at the World Stage in South Los Angeles and Self-Help Graphics in East Los Angeles.

BOA Editions, Ltd.
Rochester, NY

\$10,000

To support production, promotion and related expenses for new volumes of poetry and collections of essays on poetry. Scheduled titles include *Book of My Nights* by Li-Young Lee, *Rancho Notorious* by Richard Garcia, and *The Rat Trinity* by Laure-Anne Bosselaar. (Multi-state)

Boston Book Review (Harvard Readers Guild) \$7,500
Cambridge, MA

To support increased payments to contributing poets and writers of the *Boston Book Review*. The journal will publish the winning entry of the first PEN/Amazon short story contest and reintroduce original fiction to the magazine. (Multi-state)

Boston University (on behalf of *AGNI* Magazine) \$5,000
Boston, MA

To support publication costs and related expenses for two issues of *AGNI*. The journal will publish a general issue and an issue exploring ways in which writers can help advance human rights. (Multi-state)

Bridge Center for Contemporary Art (on behalf of *Cinco Puntos Press*) \$15,000
El Paso, TX

To support the production and national distribution of books exploring the Mexican and American Chicano experience published by *Cinco Puntos Press*. The volumes will be promoted at readings and on the Web, and be made available to trade bookstores throughout the nation by Consortium Book Sales and Distribution. (Multi-state)

Bright Hill Press, Inc. \$5,000
Treadwell, NY

To support the *Word Thursdays* reading series and the *Speaking the Words* tour of poets and writers. Bright Hill Press will present readings by 39 artists at the Delaware County Historical Association and other venues throughout the Catskill region.

CALYX, Inc. \$15,000
Corvallis, OR

To support *Calyx Journal's* New Writers, New Readers program. Components of the project include the publication of four issues of the literary magazine, increased honoraria to writers and artists, its new writer reading series, and a direct mail subscription campaign. (Multi-state)

Coffee House Press \$50,000
Minneapolis, MN

To support the publication, promotion and national distribution of fiction and creative nonfiction by contemporary women writers. Selected writers include Norah Labiner, Anne Waldman, Carol Ann Sima, Mary Caponegro, Judith Kitchen, Maxine Chernoff and Nancy Lord. (Multi-state)

Copper Canyon Press \$35,000
Port Townsend, WA

To support the publication and national distribution of books of poetry by poets at critical stages of their careers. Promotional author readings will be scheduled throughout the country at bookstores, libraries and literary conferences. (Multi-state)

Curbstone Press, Inc. \$65,000
Willimantic, CT

To support the continuation of Literature in Translation: Opening Doors Between Cultures, a project to publish and distribute contemporary poetry and fiction by writers from Latin America and Vietnam. Curbstone Press will sponsor readings by international writers in bookstores, libraries, schools and community centers. (Multi-state)

Divinity \$10,000
St. Louis, MO

To support the Langston Hughes St. Louis/World Black Poetry Festival. Participating poets include Sonia Sanchez, Amiri Baraka, Reggie Gibson, Ntozake Shange, Kamaau Daood, Yusef Komunyakaa, Abiodun Oyewole, Quincy Troupe, Eugene B. Redmond and Shirley LeFlore.

Feminist Press, Inc. \$40,000
New York, NY

To support the publication and national distribution of books in the Feminist Press International Women's Writing Project. Works proposed for publication include *Still Alive: A Jewish Childhood Under the Nazis* by Ruth Kluger, and *The Dark Holds No Terrors*, a novel by Shashi Deshpande set in her native India. (Multi-state)

Fiction Collective, Inc. \$5,000
Tallahassee, FL

To support the publication, promotion and distribution of two novels published by Fiction Collective Two. The press will publish *Aunt Rachel's Fur* by Raymond Federman and *Girl Beside Him* by Arts Endowment Literature Fellowship recipient Chris Mazza. (Multi-state)

Graywolf Press **\$30,000**
St. Paul, MN

To support the publication, promotion and national distribution of volumes of creative nonfiction by Graywolf Press. Scheduled authors include John D'Agata, Albert Goldbarth, Kim Stafford and W.D. Snodgrass. (Multi-state)

Guild Complex **\$10,000**
Chicago, IL

To support the 10th Annual *Musicality of Poetry Series*, which features performances and workshops linking poetry with live music. Proposed artists include Joy Harjo and her band Poetic Justice, performance poet Kamau Daaoood with jazz trumpeter Orbert Davis, and novelist Jessica Hagedorn with hip hop turntablist Madrid.

HEArt-Human Equity Through Art **\$5,000**
Pittsburgh, PA

To support publication expenses, including artists' fees, for issues of *HEArt Quarterly*. Writers under consideration for the issues include Lucille Clifton, Sharon Olds, Sherman Alexie, Sandra Cisneros, Yusef Komunyaaka and Henry Louis Gates. (Multi-state)

Hudson Valley Writers' Center, Inc. **\$7,500**
Sleepy Hollow, NY

To support the *Literary Presentation Series*, featuring live readings by distinguished writers, and *Open Mike Nights*, a series of readings by local regional poets and writers. Coordinated by poet Nick Carb, the *Literary Presentation Series* will feature 25 public readings at the restored Philipse Manor Railroad on the east bank of the Hudson River; Sunnyside, the historic home of Washington Irving in Tarrytown, NY; and at several educational institutions in Westchester County.

Intersection **\$7,500**
San Francisco, CA

To support the presentation and promotion of writers' residencies in San Francisco. Proposed artists include Walter Mosley, Dave Hickey, Lucy Lippard and Luis Rodriguez.

Just Buffalo Literary Center, Inc. **\$20,000**
Buffalo, NY

To support a series of readings and workshops in Buffalo, New York. Scheduled writers include Richard Powers, Samuel Delaney and Marjorie Agosin. Richard Powers and Samuel Delaney will present mainstage readings to be broadcast by National Public Radio affiliate WBFO-FM.

King Arts Complex (Community Arts Project, Inc.) **\$7,500**
Columbus, OH

To support *Sister Talk*, a series of presentations, lectures and workshops celebrating the accomplishments of African American women in literature. Featured artists include Sonia Sanchez, Ntozake Shange, J. California Cooper and Julia Hare.

Latin American Literary Review Press **\$15,000**
Pittsburgh, PA

To support the publication and national distribution of volumes of fiction by Latin American writers. Scheduled titles include *Fragrance of Love*, a collection of short stories by Brazilian novelist Edla van Steen, and *The Song of the Distant Root* by Chilean novelist Elizabeth Subercaseaux. (Multi-state)

Loft, Inc. **\$40,000**
Minneapolis, MN

To support The Minnesota Program for Writers, which provides mentors for emerging writers throughout the state. The program features The Mentor Series, which brings nationally recognized writers to the Twin Cities to work with local writers through workshops and one-on-one instruction; and The Inroads Program, a mentoring series targeting emerging writers of color.

Log Cabin Literary Center, Inc. **\$10,000**
Boise, ID

To support BookFest, Idaho's only free literary festival. The Log Cabin Literary Center will bring writers of national stature to a regional and rural audience of 1,400 people.

Louisiana State University (on behalf of Louisiana State University Press) **\$10,000**
Shreveport, LA

To support production costs and related expenses for books of poetry published by Louisiana State University Press. Scheduled titles include Betty Adcock's *Intervale: New and Selected Poems*, Kelly Cherry's *Rising Venus*, Alice Derry's *So, You're German?* and Calvin Forbes's *The Shine Poems*. (Multi-state)

Marygrove College **\$10,000**
 Detroit, MI

To support a series of lectures and readings as part of Defining Detroit, a city-wide celebration honoring Detroit's tricentennial. Scheduled participants include native Detroiters Philip Levine, Lawrence Joseph, Toi Derricotte, Pearl Cleage and Joyce Carol Oates, who spent formative years in Detroit during the 1960's.

Midwest Center for the Literary Arts, Inc. **\$10,000**
 Kansas City, MO

To support Poets-at-Large 2001, a festival featuring poetry readings and discussions at artists' studios within the Kansas City metropolitan area. Scheduled for April 2001, the festival will be hosted by the Center's programming arm, The Writers Place, and feature poets such as Lorna Dee Cervantes, Amiri Baraka, Martin Espada, Linda Hogan and Naomi Shihab Nye.

Mountain Writers Series **\$25,000**
 Portland, OR

To support readings, residencies and special events throughout the Pacific Northwest region. Proposed authors include Sherman Alexie, Sandra Cisneros, Robert Creeley, Rita Dove, Thom Gunn, Heather McHugh, Clarence Major, C.D. Wright and Marvin Bell. (Multi-state)

North Carolina State University (on behalf of *Obsidian III*) **\$10,000**
 Raleigh, NC

To support publication and related costs, including artists' fees, of two issues of *Obsidian III*. Scheduled for publication is an issue exploring African American children's literature and a general issue featuring writers from all parts of the African Diaspora. (Multi-state)

Other Voices, Inc. **\$5,000**
 Chicago, IL

To support the publication and promotion of two issues of *Other Voices*. A direct mail campaign will target potential subscribers nationwide. (Multi-state)

Painted Bride Quarterly, Inc. \$5,000
Philadelphia, PA

To support the creation of an online archive of writing published by *Painted Bride Quarterly*. The archive will include material published by the journal since its inception in 1973, and feature writers such as John Ashbery, Ethridge Knight, Sonia Sanchez, Robert Creeley, Clarence Major and Allen Ginsberg. (Multi-state)

Ploughshares, Inc. \$11,000
Boston, MA

To support the publication and national circulation of two issues of *Ploughshares* to 6,000 readers across the country. The winter 2001-02 and spring 2002 issues will feature new work by 70 poets and 12 fiction writers. (Multi-state)

Poetry Project, Ltd. \$18,000
New York, NY

To support the *Monday Night and Wednesday Night Reading and Performance Series*, which will feature live presentations by more than 100 poets and performers. Writers under consideration include Don DeLillo, Barbara Guest, Victor Hernandez Cruz, Lynne Tillman, Rick Moody, U Sam Oeur and Andrei Codrescu.

Sarabande Books, Inc. \$25,000
Louisville, KY

To support the production and promotion of books by mid-career writers. Scheduled authors include Michael Burkard, Eleanor Lerman and Ralph Angel. (Multi-state)

Seattle Arts & Lectures (Consortium) \$12,000
Seattle, WA

To support a collaboration between Seattle Arts & Lectures and Literary Arts, Inc. in Portland, OR, to bring distinguished writers to both cities for a series of readings and lectures. The series will feature seven events in each city, reaching a total audience of 28,000. (Multi-state)

Story Line Press, Inc. \$12,500
Ashland, OR

To support the publication, promotion and national distribution of a new series of first books of poetry by Story Line Press. Based on the recommendations of established authors and editors of prominent poetry-publishing houses, Story Line Press will publish eight manuscripts from unpublished poets. (Multi-state)

Symphony Space, Inc. **\$15,000**
New York, NY

To support *Selected Shorts: A Celebration of the Short Story*, a series of live readings featuring classic and new short fiction read by distinguished stage and screen actors. (Multi-state)

The Sun (Sun Publishing Company, Inc.) **\$5,000**
Chapel Hill, NC

To support an increase in payments to contributors of *The Sun*, a literary magazine reaching 50,000 subscribers from every state. Founded in 1974 by editor Sy Safransky, *The Sun* is a monthly magazine of essays, fiction, interviews, poetry, art and photography. (Multi-state)

Threepenny Review **\$12,000**
Berkeley, CA

To support authors' fees and promotional costs for four issues of the *Threepenny Review*. Featuring work by 100 established and emerging writers, the issues will be promoted through a direct mail subscription campaign targeting 70,000 readers. (Multi-state)

Trafika (Trafika Press, Inc.) **\$5,000**
Brooklyn, NY

To support publication and related expenses, including artists' fees for issues of *Trafika*, a literary journal focusing on contemporary international authors. In the proposed issues, the magazine will introduce American readers to writers from the Ukraine, Mozambique, Sweden, Cuba and Poland. (Multi-state)

University of Arizona **\$10,000**
Tucson, AZ

To support *Wide Open: Poetry in the Larger World*, a series of readings and residencies at the University of Arizona's Poetry Center. Featured writers include Carl Dennis, Billy Collins, Terese Svoboda, Anne Carson, David Breskin, Beth Lisick and Ariana Waynes.

University of Hawaii (on behalf of *MANOA*) **\$20,000**
Honolulu, HI

To support publication, promotion, distribution and related expenses for two issues of *Manoa: A Pacific Journal of International Writing*. Scheduled issues will feature new writing from Japan and Viet Nam, and include poetry and prose by American writers from diverse cultural backgrounds. (Multi-state)

University of Houston (on behalf of Arte Público Press) **\$50,000**
Houston, TX

To support Arte Público Press's publication and promotion of books by emerging, Hispanic women authors. Authors will present readings in urban areas with large Hispanic populations throughout the United States. (Multi-state)

University of Iowa **\$7,000**
Iowa City, IA

To support publication costs and related expenses for two winning selections from the Iowa Short Fiction Award competition. Titles will be selected by Sioux writer Susan Power, author of *The Grass Dancer*. (Multi-state)

University of Missouri at Columbia (on behalf of *The Missouri Review*) **\$15,000**
Columbia, MO

To support publication, promotion and related expenses for issues of *The Missouri Review*. The magazine will enhance its Web site and target 50,000 potential readers through a national direct mail campaign. (Multi-state)

University of Texas at Austin (on behalf of the Center for Middle Eastern Studies) **\$10,000**
Austin, TX

To support the publication of new works of modern Arabic fiction in translation. Scheduled titles include *Passage to Dusk* by Lebanese writer Rashid Daif and *Children of the Waters* by Egyptian author Ibtihal Salem. (Multi-state)

University of Virginia (on behalf of *Callaloo*) **\$25,000**
Charlottesville, VA

To support Writing the Self and Community, a series of public readings and writing workshops organized by the journal *Callaloo* to be held at historically black colleges and universities around the country. Participating writers include Edwidge Danticat, Lucille Clifton, Gloria Naylor, Carl Phillips, Natasha Trethewey and Reginald McKnight. (Multi-state)

University of Virginia (on behalf of University of Virginia Press) **\$18,000**
Charlottesville, VA

To support publication and promotion of translations of contemporary Francophone literature from the Caribbean and Africa as part of the University of Virginia Press's *CARAF Books Series*. Scheduled authors include Ahmadou Kourouma of Côte d' Ivoire, and Mongo Beti, a native of Cameroon. (Multi-state)

White Pine, Inc. **\$25,000**
Buffalo, NY

To support the publication and promotion of titles in the World of Voices Poetry Project. Authors to be published include Maurice Kenny, Joel Oppenheimer, Christopher Merrill and Japanese poet Miyazawa Kenji. (Multi-state)

Woodland Pattern Book Center, Inc. **\$40,000**
Milwaukee, WI

To support a series of readings, exhibits and workshops in Milwaukee's inner city. Scheduled authors include Elaine Equi, Maureen Owen, Lyn Hejinian, Luci Tapahonso, Leslie Scalapino, Arthur Sze and Wang Ping.

Writers Room, Inc. **\$10,000**
New York, NY

To support subsidized work space for emerging writers using The Writers Room, an urban writers' colony in New York City. Founded in 1978, the organization expects to welcome 80 new members in FY 2001.

ZYZZYVA **\$8,500**
San Francisco, CA

To support authors' fees and promotional costs for issues of *Zyzyva*, a magazine featuring the work of West Coast writers. The issues will be promoted through a direct mail subscription campaign targeting 100,000 readers. (Multi-state)

Literature Grants in Organizational Capacity, FY 2001

Organizational Capacity grants assist American arts organizations assess their strengths and weaknesses, develop strategies for long-term financial health, and plan for stability.

In Literature, 2 grants were awarded, totaling \$125,000.

<u>GRANT</u>	<u>AMOUNT</u>
<p>Associated Writing Programs Fairfax, VA</p> <p>To support the production, printing and distribution of <i>The Writer's Chronicle</i>, the <i>AWP Job List</i>, continued development of its Web site, and the 2002 AWP Conference in New Orleans, LA. Associated Writing Programs will promote the publications and its annual conference through a 100,000-piece direct mail campaign. (Multi-state)</p>	<p>\$50,000</p>
<p>Poets & Writers, Inc. New York, NY</p> <p>To support the publication of <i>Poets & Writers Magazine</i>; the continued development and promotion of its Web site; and <i>Literary Horizons</i>, a series of seminars, panels, lectures and pamphlets providing writers with practical information on the business of writing. (Multi-state)</p>	<p>\$75,000</p>

Literature Grants in Access, FY 2001

Access grants support projects which broaden, diversify, and increase the kinds of arts events or activities available to the American public, and provide access to arts experiences in communities or areas where such activities are not readily available.

In Literature, 12 grants were awarded, totaling \$235,000.

<u>GRANT</u>	<u>AMOUNT</u>
Academy of American Poets New York, NY	\$60,000
<p>To support the coordination of National Poetry Month, a project that brings poetry to schools, libraries, bookstores, cultural organizations and communities across the country in new and imaginative ways. During April 2001, the Academy will host library readings, panel discussions, outreach efforts and special features on the organization's Web site. (Multistate)</p>	
Anhinga Press, Inc. Tallahassee, FL	\$5,000
<p>To support Runaway With Words, a program of creative writing workshops for at-risk youth. Anhinga Press will extend the program to new sites in Florida, Oregon and Utah and train artists and teachers at those sites to conduct effective workshops. (Multistate)</p>	
Arizona State University (on behalf of Bilingual Review Press) Tempe, AZ	\$10,000
<p>To support the distribution of 1,000 titles of Hispanic, Latin American and Spanish literature to 2,650 bookstores throughout the United States. Bilingual Review Press will distribute free copies of books to rural and inner-city schools and domestic abuse centers. (Multistate)</p>	
Curbstone Press, Inc. (Consortium) Willimantic, CT	\$5,000
<p>To support Community Access to Living Literature, a program offering readings and writing workshops to immigrant communities, senior care homes, juvenile homes, prisons, social service organizations and public schools in northeastern, rural Connecticut. Curbstone Press will partner with Windham Public Schools, the Center for Learning in Retirement and the Connecticut Historical Society.</p>	

Literary Arts, Inc. \$5,000
Portland, OR

To support Writers in the Schools, a program for writers, teachers and middle and high school students in Portland and Eugene. Literary Arts will partner with the Independent Resource Publishing Center to provide desktop publishing and Web design instruction to help students publish literary reviews and Webzines using on-site technology.

Montana Committee for the Humanities/Center for the Book \$10,000
Missoula, MT

To support the second annual Montana Festival of the Book in September 2001. More than 100 regional authors will read and discuss their work at selected venues in downtown Missoula, reaching an estimated audience of up to 3,000. (Multistate)

Poetry Society of America \$30,000
New York, NY

To support Poetry in Motion, a program that places poetry placards in public transportation systems. The Poetry Society of America will launch new programs in Boston, MA; Washington, DC; Eugene, OR; Houston, TX; and Miami, FL. (Multistate)

Poets House, Inc. (Consortium) \$15,000
New York, NY

To support the expansion of the Poets House Poetry in the Branches Program to libraries throughout the nation. In collaboration with the American Library Association, the organization will present a two-day training conference for librarians from over 100 branches nationwide. (Multistate)

Small Press Distribution, Inc. \$60,000
Berkeley, CA

To support a targeted distribution initiative to provide individuals, libraries and bookstores in all 50 states with publications from 500 small and independent presses. (Multistate)

Tampa Metropolitan Area YMCA, Inc. \$5,000
Tampa, FL

To support after-school creative writing workshops targeting underserved children of migrant farm families. The Writer's Voice of the Tampa Metropolitan Area YMCA will offer a series of 12 week-long workshops at 13 sites in and around Tampa for 400 children, ages eight to 12.

Writer's Garret, Inc. \$20,000
Dallas, TX

To support publication costs and related expenses for *TEX!*, a free literary magazine distributed in newspapers throughout Texas, and a series of promotional readings by poets and writers featured in the magazine. *TEX!* is distributed to 550,000 readers as an insert in seven community newspapers including *The Dallas Morning News*.

Zora Neale Hurston/Richard Wright Foundation \$10,000
Richmond, VA

To support artists' fees, promotion and related expenses for Hurston/Wright Writers Week, a multi-genre summer writers workshop geared toward African American writers. The Hurston/Wright Foundation will promote the workshop at historically Black colleges and universities around the country.

Literature Grants in Education, FY 2001

Education grants support projects which expand opportunities for children and adults to participate in and increase their understanding of the arts and provide professional development opportunities for artists, arts professionals, and teachers.

In Literature, 11 grants were awarded, totaling \$ 235,000.

<u>GRANT</u>	<u>AMOUNT</u>
<p>Cave Canem Foundation, Inc. New York, NY</p> <p>To support writing retreats targeting emerging African American poets. Cave Canem will convene two week-long retreats in summer 2001 and winter 2002.</p>	<p>\$10,000</p>
<p>InsideOut, Inc. Detroit, MI</p> <p>To support year-long writers' residencies in Detroit inner-city public schools. InsideOut will place writers in 20 schools, reaching an estimated audience of 2,000 students in grades three through 12.</p>	<p>\$10,000</p>
<p>Maine Writers & Publishers Alliance Brunswick, ME</p> <p>To support creative writing workshops for children and adults throughout Maine, reaching remote rural areas in Aroostook, Hancock, Washington and Franklin counties. The project also will serve statewide communities through readings and publications for and about Maine writers.</p>	<p>\$10,000</p>
<p>Milkweed Editions Minneapolis, MN</p> <p>To support <i>Stories From Where We Live</i>, a book series and Web initiative to foster ecological literacy and reading and writing skills among children in grades four through seven. (Multistate)</p>	<p>\$20,000</p>
<p>New School University (on behalf of the New School Adult Division) New York, NY</p> <p>To support the Writing Lives Conference, a three-day event in autumn 2001. The conference will bring together biographers, novelists, poets, memoirists, anthropologists,</p>	<p>\$10,000</p>

literary scholars and documentary filmmakers to explore the craft of recording and dramatizing individual experiences.

PEN American Center, Inc. **\$50,000**
New York, NY

To support Readers & Writers, a community development project that brings authors and their books to a variety of educational settings around the country. PEN also will expand its Book Group Initiative, a program in New York designed to create discussion groups in community libraries, religious institutions, private homes and workplaces. (Multistate)

PEN Center USA West **\$20,000**
Los Angeles, CA

To support Write Through Life, a project consisting of writers' residencies in Los Angeles high schools, mentorships for emerging writers from underserved and minority communities, and seminars on practical topics for professional writers in Arizona, Montana, California and Illinois. PEN West also will launch PEN Inc., a program of creative writing workshops for adults in the workplace. (Multistate)

Richard Hugo House **\$20,000**
Seattle, WA

To support Writing for a Lifetime, a multifaceted program of creative writing and teacher training workshops. After-school, evening, and weekend classes will target at-risk youth, prison inmates, and working members of the Seattle community.

Seattle Arts & Lectures **\$25,000**
Seattle, WA

To support Writers in the Schools, an educational project targeting secondary schools in the Seattle area. Seattle Arts & Lectures will provide teacher training, classroom residencies and mentoring sessions with established and emerging writers, and local readings and publications featuring the work of young writers.

Teachers & Writers Collaborative **\$40,000**
New York, NY

To support the expansion of WriteNet, an Internet initiative to provide writers, students, teachers and parents around the country with access to literary arts education materials. The Web site will feature professional development services for writers and teachers, and a series of on-line writing workshops. (Multistate)

Writers & Books, Inc.
Rochester, NY

\$20,000

To support the expansion of *Learning for a Lifetime*, a series of educational and outreach programs for more than 4,500 community members. Writers & Books will train writers to lead writing workshops, introduce on-line writing courses and promote its programs to a wider audience.

Literature Grants in Heritage & Preservation, FY 2001

Heritage & Preservation grants support projects which honor, assist, encourage, and present those artists and forms of artistic expression that reflect the many cultural traditions that make up our nation, and document or conserve highly significant works of art, artifacts, and collections of art.

In Literature, 6 grants were awarded, totaling \$150,000.

<u>GRANT</u>	<u>AMOUNT</u>
<p>Contemporary Arts Educational Project, Inc. Los Angeles, CA</p> <p>To support the publication and national distribution of books in Sun & Moon Press's <i>Green Integer</i> series. Dedicated to the tradition of belles lettres, Sun & Moon will publish nine works of literary nonfiction representing the muses of classical mythology. (Multistate)</p>	<p>\$20,000</p>
<p>Council of Literary Magazines and Presses (on behalf of <i>The Paris Review</i>) New York, NY</p> <p>To support eight Writers-at-Work interviews in <i>The Paris Review</i>. Potential interviewees include Jorie Graham, Lorrie Moore, David Foster Wallace, Ann Beattie, Adrienne Rich, Michael Ondaatje, Edward Hirsch, Richard Powers, Stephen King and Annie Proulx. (Multistate)</p>	<p>\$10,000</p>
<p>Poets House, Inc. New York, NY</p> <p>To support the ninth annual <i>Poetry Publication Showcase</i>, a month-long exhibit of new poetry books designed to preserve and display the breadth of poetry in print. Poets House will present the Showcase to 18,000 librarians at the American Library Association Conference in San Francisco, and will publish the <i>Directory of American Poetry Books</i>, the only bibliographic resource that tracks the annual publication of poetry in America. (Multistate)</p>	<p>\$45,000</p>
<p>Review of Contemporary Fiction, Inc. Normal, IL</p> <p>To support the restoration and promotion of major works of modern fiction by Dalkey Archive Press. Authors whose works will be republished include William Eastlake, Henry Green, Stanley Elkin, Gilbert Sorrentino, Ann Quin, Danilo Ki, David Antin, Maria Dermoût and Camilo Jose Cela. (Multistate)</p>	<p>\$50,000</p>

San Francisco State University
San Francisco, CA

\$15,000

To support the restoration of historical film footage from the Poetry Center's American Poetry Archives. Authors featured in these original recordings include William Stafford, Audre Lorde, Allen Ginsberg, William S. Burroughs and Ted Hughes. (Multistate)

Words Given Wings Literary Arts Project
San Francisco, CA

\$10,000

To support Mercury House's republication and national distribution of John A. Williams's *Night Song*, with an introduction by Ishmael Reed. Set in New York City in the 1950s, *Night Song* is one of the first works of fiction by a black author that depicts the world of black jazz musicians in America. (Multistate)

Literature Grants in Creation & Presentation, FY 2000

Creation & Presentation grants help create a broad range of new artistic work through commissions and residencies, and support the presentation of performing arts, exhibitions, media arts programs, and literature.

In Literature, 55 grants were awarded totaling \$1,000,000.

<u>GRANT</u>	<u>AMOUNT</u>
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A A Arts Honolulu, HI	\$5,000
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To support publication expenses and related costs for a special issue of *Chain*, featuring autobiographies that highlight non-western cultural experiences. The collection will be co-edited by Kerry Sherin, Dorothy Wang, Marina Bhudos, and Nzadi Zimele Keita.

American Poetry Review Philadelphia, PA	\$10,000
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To support *The American Poetry Review's Distinguished Poets' Residencies*, which will bring two nationally prominent poets to Philadelphia to meet with students, teachers, and the general public. Residents will present free literary activities including readings, workshops for teachers and emerging writers, visits to area high school English classes, and lectures to be broadcast on live radio.

Asian American Writers' Workshop, Inc. New York, NY	\$10,000
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To support *Crossing OverSEAMS*, a project to bring literary programs to underserved Asian and Asian American communities throughout the United States. Targeted communities include Flushing and Jackson Heights, New York; Edison and Jersey City, New Jersey; Pasadena and Los Angeles, California; Renton, Washington; Houston, Texas; and Chicago, Illinois.

Aunt Lute Foundation San Francisco, CA	\$25,000
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To support publication and related costs for two anthologies of writing by women. Aunt Lute will publish *The Other Half of the Sky, Fiction and Poetry by Filipina and Filipina American Women* and *The Aunt Lute Anthology of U.S. Women Writers*.

Bamboo Ridge Press \$5,000
Honolulu, HI

To support the publication, distribution, and promotion of a collection of linked short stories by Lee Tonouchi focusing on identity struggles among family and friends in a Hawaiian multicultural community. Free readings are planned for venues such as the University of Hawaii at Manoa, University of Hawaii at Hilo, Borders Books in Honolulu, Maui, and Kauai, and the Japanese American National Museum in Los Angeles, California.

Bard College (*Conjunctions Magazine*) \$10,000
Annandale-Hudson, NY

To support publication, circulation, and related expenses, including authors' fees, for two issues of *Conjunctions*. Each issue will be distributed to subscribers in 33 states and to bookstores throughout the country.

Beyond Baroque Foundation \$18,000
Venice, CA

To support the *Word Beyond Millennium Project*, an eight-month program of literary activities reaching 15,000 individuals throughout the Los Angeles area. Beyond Baroque will present residencies, workshops, and readings by writers such as Victor Hernandez Cruz, Marilyn Chin, John Edgar Wideman, Amy Gerstler, Albert Goldbarth, and W.S. Merwin.

Big River Association/*River Styx Magazine* \$5,000
St. Louis, MO

To support the publication and national distribution of three issues of *River Styx*.

BOA Editions, Ltd. \$20,000
Rochester, NY

To support production, promotion, and related expenses for new volumes of poetry comprising the *To Affirm What Is Human* publishing project. Scheduled titles include Lucille Clifton's *New & Selected Poems: 1988-2000*; Dorianne Laux's *Music In the Morning*; and Bill Knott's *Laugh at the End of the World: Collected Comic Poems*.

Bridge Center for Contemporary Art **\$15,000**
(Fiscal Agent for Cinco Puntos Press)
 El Paso, TX

To support the production and national distribution of books exploring the Mexican and American Chicano experience published by Cinco Puntos Press. The volumes will be promoted at readings and on the Web, and be made available to trade bookstores throughout the nation by Consortium Book Sales and Distribution.

CALYX, Inc. **\$22,000**
 Corvallis, OR

To support CALYX Journal's *New Writers, New Readers* program. Components of the project include an expanded format for the literary magazine, increased honoraria to writers and artists, an expansion of its new writer reading series, and a direct mail subscription campaign.

Colorado State University (*Colorado Review*) **\$10,000**
 Fort Collins, CO

To support publication expenses and related costs, including artists' fees, for two special issues of the *Colorado Review*. One issue to be edited by Alberto Rios will feature Hispanic writers; the other will feature experimental literature.

Copper Canyon Press **\$55,000**
 Port Townsend, WA

To support the publication and national distribution of books of poetry by poets at critical stages of their careers. Promotional author readings will be scheduled throughout the country at bookstores, libraries, and literary conferences.

Council of Literary Magazines and Presses **\$7,500**
(Fiscal Agent for Kaya Press)

New York, NY
 To support the publication and promotion of books by Asian American performance artists published by Kaya Press. Scheduled titles include *Maps of Cities and Bodies* by Los Angeles-based artist Denise Uyehara.

Creative Nonfiction Foundation **\$7,500**
 Pittsburgh, PA

To support the publication and promotion of one issue of *Creative Nonfiction*. A direct mail campaign will target 25,000 potential subscribers nationwide.

Curbstone Press **\$40,000**
 Willimantic, CT

To support the continuation of *Literature in Translation: Opening Doors Between Cultures*, a project to publish and distribute contemporary poetry and fiction by writers from Latin America and Vietnam. Curbstone Press will sponsor readings by international writers in bookstores, libraries, schools, and community centers.

Dartmouth College (University Press of New England) **\$15,000**
 Hanover, NH

To support the acquisition and publication of contemporary Israeli fiction in translation through Brandeis University Press's Tauber Institute Series, which specializes in titles exploring European Jewish history, the Holocaust, and Israeli culture. The series will be edited by Brandeis University President Jehuda Reinharz.

Dona Ana Arts Council **\$20,000**
(Fiscal Agent for Border Book Festival)
 Las Cruces, NM

To support the sixth annual *Border Book Festival*, which will occur during March 2000. Highlighting the theme, *The Dreams of Children*, the festival will feature writers such as Julia Alvarez, Rita Dove, John Edgar Wideman, Luci Tapahonso, Victor Mart nez, and Carmen Lomas Garza.

Feminist Press, Inc. **\$30,000**
 New York, NY

To support the publication and national distribution of books in the Feminist Press *International Women's Writing Project*. Works proposed for publication include *Still Alive: A Jewish Childhood Under the Nazis* by Ruth Kluger, and *The Ten Thousand Things*, an episodic novel by Maria Dermout set in the Dutch East Indies.

Gemini Ink (Fiscal Agent for Wings Press) **\$5,500**
 San Antonio, TX

To support the production, promotion, and related expenses for volumes in Wings Press's *Poes a Tejana* publishing project. Wings Press will publish first books by young Hispanic women living in Texas, and poetry chapbooks by established Tejana poets.

Gettysburg College (*Gettysburg Review*) **\$10,000**
Gettysburg, PA

To support payments to contributors and promotional expenses for the *Gettysburg Review*. A direct mail campaign on behalf of the literary journal will target 50,000 potential readers across the country.

Graywolf Press **\$50,000**
St. Paul, MN

To support the publication, promotion, and national distribution of volumes of poetry and essays by Graywolf Press. Scheduled titles include work by Carl Phillips, David Rivard, and Nick Flynn.

Guild Complex **\$10,000**
Chicago, IL

To support the *2000 Musicality of Poetry Series*, which features performances and workshops linking poetry with live music. Proposed artists include Sterling Plumpp and Bluesman Billy Branch, David Hernandez with bassist and composer Mitch "Mitar" Covic, and performance poet Jean Howard with the Mass Ensemble.

Guild Complex (Tia Chucha Press) **\$5,000**
Chicago, IL

To support the publication of books of poetry by Tia Chucha Press, which will be distributed nationally by Northwestern University Press. The press will publish the winner of the second Ana Castillo Poetry Prize and an anthology of poetry and essays that will pair well-established and emerging poets.

Howard County Poetry and Literature Society, Inc. **\$15,000**
(HoCoPoLitSo)
Columbia, MD

To support the presentation and promotion of writers' residencies and television interviews featuring nationally recognized authors. Proposed authors include Julia Alvarez, Ernest J. Gaines, Adrienne Rich, Edward Hirsch, Marilyn Chen, Jill Ker Conway, Yusef Komunyakaa, Maeve Binchy, Gish Jen, Maxine Hong Kingston, Luci Tapahonso, and Peter Mathiessen.

Hudson Valley Writers' Center, Inc. **\$10,000**
Sleepy Hollow, NY

To support the *Literary Presentation Series*, featuring live readings by distinguished writers, and Open Mike Nights, a series of readings by local regional poets and writers. Recent readers at Hudson Valley Writers Center include Pulitzer Prize-winner Frank McCourt, Quincy Troupe, Sharon Olds, Cornelius Eady, Stuart Dybek, Toi Derricotte, T.C. Boyle, and Eamon Grennan.

Intersection **\$10,000**
San Francisco, CA

To support the presentation and promotion of writer's residencies in San Francisco. Proposed artists include Benjamin Alire Saenz, Luis Rodriguez, John Trudell, bell hooks, Lynne Tillman, and Christina Garcia.

Kelsey Street Press **\$5,000**
Berkeley, CA

To support the production, promotion, and related expenses, including artists' fees, for two books of prose poems: *The Vertical Interrogation of Strangers* by Bhanu Kapil and *Four* by Renee Gladman. Kelsey Street will advertise at book fairs and readings, and through periodicals and the internet as part of Amazon.com's Advantage Program and Barnes and Noble's online order program.

Latin American Literary Review Press **\$10,000**
Pittsburgh, PA

To support the publication and national distribution of volumes of fiction by Latin American writers. Scheduled titles include *Fragrance of Love*, a collection of short stories by Brazilian novelist Edla van Steen, and *The Road to Ithaca* by Uruguayan writer Carlos Liscano.

Left Field Press Inc./Another Chicago Magazine **\$5,000**
Chicago, IL

To support the publication and national distribution of two issues of *Another Chicago Magazine*. The fall 1999 issue will feature an interview with Cid Corman; the spring 2000 issue will feature an interview with Wanda Coleman.

Loft, Inc. **\$35,000**
 Minneapolis, MN

To support *The Minnesota Program for Writers*, which provides mentors for emerging writers throughout the state. The program features *The Mentor Series*, which brings nationally recognized writers to the Twin Cities to work with local writers through workshops and one-on-one instruction, and *The Inroads Program*, a mentoring series targeting emerging writers of color.

Mad Alex Arts Foundation, Inc. **\$5,000**
 New York, NY

To support artists' fees and related expenses for readings by emerging and well established writers in the New York City area. Previous guests include Jayne Cortez, Robert Creeley, David Henderson, Grace Paley, Ed Friedman, Kimiko Hahn, Gordon Lish, Lynne Tillman, and Hugh Seidman.

Miami Book Fair International, Inc. **\$45,000**
 Miami, FL

To support the presentation of midlist and international literary writers at the Miami Book Fair International through the organization's Congress of Authors program. The Book Fair will ensure that authors whose work is unlikely to be promoted through book tours financed by publishers can attend and read at the eight-day event, which is attended by 250,000 individuals.

Midwest Center for the Literary Arts, Inc./The Writer's Place **\$10,000**
 Kansas City, MO

To support *Poets-at-Large 2000*, a festival which features poetry readings and discussions at artists' studios within the Kansas City metropolitan area. Scheduled for April 2000, the festival will be hosted by the Center's programming arm, The Writers Place, and feature poets such as Lorna Dee Cervantes, Gwendolyn Brooks, Martin Espada, Albert Goldbarth, Linda Hogan, and N. Scott Momaday.

Milkweed Editions **\$25,000**
 Minneapolis, MN

To support the publication and national distribution of books in Milkweed Editions's *The World As Home* publishing program. This series of literary nonfiction titles will explore the relationship between humanity and the natural and physical worlds.

Mountain Writers Series **\$30,000**
Portland, OR

To support readings, residencies, and special events throughout the Pacific Northwest region. Scheduled authors include Sandra Cisneros, Robert Creeley, Rita Dove, Ursula LeGuin, Heather McHugh, Quincy Troupe, Gary Snyder, and Mary Oliver.

National Poetry Series, Inc. **\$5,000**
Hopewell, NJ

To support publication costs for five poetry volumes selected from the National Poetry Series Open Competition. Chosen by distinguished poets, the five winning manuscripts will be published by Coffee House Press, W.W. Norton, Sun & Moon Press, the University of Illinois Press, and Viking Penguin.

North Carolina Writers' Network (Consortium) **\$45,000**
Carrboro, NC

To support the *Word Wide: Writers of the Americas* residency program, a consortium project which will bring Luis Rodriguez to more than 100 counties throughout North Carolina. Consortium members include El Centro Hispano, Appalachian State University, the Gaston County Library, Catawba College, Student Action with Farmworkers, East Carolina University, the Center for Documentary Studies at Duke University, Lenoir-Rhyne College, and Western Carolina University.

Oakland Community College **\$9,000**
Farmington Hills, MI

To support the production and promotion of a special issue of *Witness* magazine on crime in America. The issue will feature work of writers such as Joyce Carol Oates, John Edgar Wideman, Kim Wozencraft, James Ellroy, Sandra Steingraber, Mikal Gilmore, and Stuart Dybek.

Ploughshares, Inc. **\$12,000**
Boston, MA

To support the publication and national circulation of two issues of *Ploughshares* to 6,000 readers across the country. The winter 2000-01 and spring 2001 issues will feature new work by 70 poets and 12 fiction writers.

Poetry Project, Limited **\$18,000**
New York, NY

To support the *Monday Night and Wednesday Night Reading and Performance Series*, which will feature live presentations by more than 100 poets and performers. Poets under consideration include Paul Auster, Wanda Coleman, Russell Banks, Jewelle Gomez, Grace Paley, Jamaica Kincaid, Kenneth Koch, and Ishmael Reed.

Sarabande Books, Inc. **\$25,000**
Louisville, KY

To support the production and promotion of books by urban writers. Scheduled authors include Baron Wormser, Afaa Michael Weaver, Judith Taylor, and Joan Silber.

Threepenny Review **\$11,000**
Berkeley, CA

To support authors' fees and promotional costs for four issues of the *Threepenny Review*. Featuring work by 100 established and emerging writers, the proposed issues will be promoted through a direct mail subscription campaign targeting 70,000 readers.

University of Hawaii at Manoa **\$20,000**
Honolulu, HI

To support publication, promotion, distribution, and related expenses for issues of *Manoa: A Pacific Journal of International Writing*. Scheduled issues will feature new writing from Burma, Tibet, Nepal, and Japan; and include poetry and prose by American writers from diverse cultural backgrounds.

University of Houston **\$50,000**
Houston, TX

To support the publication and promotion of literary books for urban young adults through Arte Publico's Pinata Books imprint. Authors such as Pat Mora, Gloria Velasquez, and Ofelia Dumas Lachtman will present readings at conferences and book fairs, as well as at middle and high schools in urban areas with large Hispanic populations throughout the United States.

University of Iowa (University of Iowa Press) **\$7,000**
Iowa City, IA

To support publication costs and related expenses for two winning selections from the Iowa Short Fiction Award competition. Titles will be selected by Elizabeth McCracken, author of *Here's Your Hat What's Your Worry*.

University of Mississippi **\$10,000**
University, MS

To support the Center for the Study of Southern Culture's *April 2000 Oxford Conference for the Book*. Free to the public, the conference will be co-sponsored by the City of Oxford and Square Books, a local independent bookstore.

University of Missouri at Columbia **\$17,500**
(The Missouri Review)
Columbia, MO

To support publication, promotion, and related expenses for issues of *The Missouri Review*. The magazine will enhance its Web site, and target 50,000 potential readers through a national direct mail campaign.

University of Missouri at Kansas City **\$7,500**
Kansas City, MO

To support the production of radio programs featuring well-established writers for the nationally broadcast radio series *New Letters on the Air*, and the publication of work by writers featured on the radio show in the literary magazine *New Letters*. The organization also will produce a *Minority Voices Reading Series* featuring writers such as Garrett Hongo, Alberto Rios, Amiri Baraka, and Lorna Dee Cervantes.

University of Nebraska at Lincoln **\$45,000**
(University of Nebraska Press)
Lincoln, NE

To support publication costs and related expenses, including translators' fees, for works of international fiction and literary nonfiction published by the University of Nebraska Press. Scheduled titles include translations of Eric Chevillard's *On the Ceiling*, Mohammed Dib's *The Savage Night*, Monika Maron's *Animal Triste*, and Robert Walser's *The Robber*.

Washington University (International Writers Center) **\$10,000**
St. Louis, MO

To support the *International Writers Center Reading Series*. Scheduled writers include Irish poet Nuala Ni Dhomhnaill, Chinese writer Ha Jin, Caribbean writer Caryl Phillips, and American fiction writer Rikki Ducomet.

Writers Room, Inc. **\$10,000**
New York, NY

To support subsidized work space for emerging writers using The Writers Room, an urban writer's colony in New York City. The organization also will provide full annual scholarships for four writers.

Yale University (*The Yale Review*) **\$7,500**
New Haven, CT

To support authors' payments, editorial expenses, and related costs for issues of *The Yale Review*. Founded in 1911, the literary magazine is distributed to 1,200 libraries and 300 bookstores across the country.

Young Men's and Young Women's Hebrew Association **\$65,000**
(Unterberg Poetry Center)
New York, NY

To support *Literature at the Millennium*, a series of readings, performances, literary tributes, and live interviews. Authors confirmed for the series include Jose Saramago, E.L. Doctorow, Chinua Achebe, Kenzaburo Oe, Jamaica Kincaid, Kurt Vonnegut, Jr., Denise Chavez, and Gunter Grass.

ZYZZYVA, Inc. **\$10,000**
San Francisco, CA

To support authors' fees and promotional costs for issues of *Zyzyva*. Featuring the work of West Coast writers, the proposed issues will be promoted through a direct mail subscription campaign targeting 100,000 readers.

Literature Grants in Planning & Stabilization, FY 2000

Planning & Stabilization grants assist American arts organizations assess their strengths and weaknesses, develop strategies for long-term financial health, and plan for stability.

In Literature, 5 grants were awarded, totaling \$ 180,000.

<u>GRANT</u>	<u>AMOUNT</u>
Associated Writing Programs Fairfax, VA To support the production, printing, and distribution of <i>The Writer's Chronicle</i> , a trade journal, and the <i>AWP Job List</i> . Associated Writing Programs will promote the two publications and its annual conference through a 200,000-piece direct mail campaign.	\$40,000
Council of Literary Magazines and Presses New York, NY To support the Council of Literary Magazines and Presses core services to publishing organizations, including its triquarterly newsletter, <i>CLMPages</i> ; its <i>Advertising Brokerage Program</i> , which generates earned income for participating magazines; the <i>Directory of Literary Magazines</i> , and the CLMP Resource Center. CLMP also will retain a part-time Director of Membership Services.	\$20,000
Poets & Writers, Inc. New York, NY To support the publication of <i>Poets & Writers Magazine</i> ; the continued development of Poets & Writers' Web site; and <i>Literary Horizons</i> , a series of seminars, panels, lectures, and pamphlets providing writers with practical information on the business of writing.	\$75,000
University of Texas at Dallas Richardson, TX To support the expansion of the Center for Translation Studies Web site to include extensive information on university translation programs worldwide; residencies, grants, and awards for translators; reference tools for translation; and literary organizations in the United States and abroad. The Center also will prepare an online edition of its handbook on the teaching of translation workshops in colleges and universities.	\$20,000

Writers In The Schools (Consortium)
Houston, TX

\$25,000

To support WITSLink, the second phase of the Writers in the Schools Apprenticeship Initiative that has provided technical assistance to residency programs in Seattle, Washington; Detroit, Michigan; Missoula, Montana; and Boise, Idaho. Consortium members include Detroit's InsideOut, Boise's Log Cabin Literary Center, Seattle Arts & Lectures, and the Missoula Writing Collaborative.

Literature Grants in Heritage & Preservation, FY 2000

Heritage & Preservation grants support projects which honor, assist, encourage, and present those artists and forms of artistic expression that reflect the many cultural traditions that make up our nation, and document or conserve highly significant works of art, artifacts, and collections of art.

In Literature, 11 grants were awarded, totaling \$235,000.

<u>GRANT</u>	<u>AMOUNT</u>
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Before Columbus Foundation Oakland, CA	\$5,000
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To support the 21st annual American Book Awards, which celebrate the tradition of multicultural writing in America. Before Columbus Foundation will coordinate an award ceremony at Book Expo America in June 2000, and assist publishers to promote winning titles.

Coffee House Press Minneapolis, MN	\$50,000
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To support the publication, promotion, and national distribution of new and out-of-print books by writers associated with the Black Arts Movement. Selected writers include John A. Williams, William Melvin Kelley, and Clarence Major.

Jewish Heritage Writing Project, Inc. New York, NY	\$10,000
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To support the National Initiative in the Literature of the Holocaust, a residency program coupling young, established writers with Holocaust survivors to produce publishable literary memoirs. Jewish Heritage will partner with schools, museums, and community organizations in urban and rural towns across the country to produce and promote quality manuscripts.

Moonstone, Inc. Philadelphia, PA	\$5,000
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To support Moonstone's 17th Annual Celebration of Black Writing, to take place during February 2001. The festival will feature over 40 local Philadelphia authors as well as writers from around the country participating in readings, panels and workshops.

Paris Press, Inc.
Ashfield, MA

\$10,000

To support publication costs and related expenses for *The Complete Poems of Muriel Rukeyser*, a first-time collection spanning the full breadth of the poet's work. The volume will include a subject-name index, a chronology, an introduction by an established writer, and a preface by a well-known cultural figure.

Poets House Inc.
New York, NY

\$40,000

To support the eighth annual Poetry Publication Showcase, a month-long exhibit of new poetry books designed to gather and preserve the breadth of poetry in print. Poets House will present the Showcase to 18,000 librarians at the American Library Association Conference in Chicago, Illinois, and will publish the *Directory of American Poetry Books*, the only bibliographic resource that tracks the annual publication of poetry in America.

Research Foundation of State University of New York
(on behalf of SUNY College at Brockport)
Albany, NY

\$20,000

To support the Brockport Writing Forum's preservation of videotaped conversations with significant writers of the last thirty years, and to make these resources more accessible to the public.

Review of Contemporary Fiction, Inc.
Normal, IL

\$30,000

To support the restoration and promotion of major works of modern and contemporary fiction by Dalkey Archive Press. Authors whose works will be republished include Ishmael Reed, Gertrude Stein, Stanley Elkin, Flann O'Brien, Mario Vargas Llosa, Gilbert Sorrentino, Augusto Roa Bastos, Christine Schutt, and Elaine Kraf.

San Francisco State University
(on behalf of The Poetry Center)
San Francisco, CA

\$10,000

To support the production and distribution of a comprehensive catalog of The Poetry Center's audio and video recordings.

University of Arizona **\$30,000**
(on behalf of **The University of Arizona Press**)
Tucson, AZ

To support the publication and promotion of books by Native American authors in the University of Arizona Press's Sun Tracks Series. Scheduled authors include William Penn, Ralph Salisbury, Devon Mihesuah, Simon Ortiz, Nora Naranjo-Morse, and Luci Tapahonso.

White Pine, Inc. **\$15,000**
Buffalo, NY

To support the publication and national distribution of books by Latin American women in translation as part of White Pine's Secret Weavers Series. Books published by the press are distributed to bookstores in all 50 states by Consortium Book Sales and Distribution.

Literature Grants in Education, FY 2000

Education grants support projects which expand opportunities for children and adults to participate in and increase their understanding of the arts and provide professional development opportunities for artists, arts professionals, and teachers.

In Literature, 10 grants were awarded, totaling \$ 210,000.

<u>GRANT</u>	<u>AMOUNT</u>
<p>Cave Canem Foundation, Inc. New York, NY</p> <p>To support writing retreats targeting emerging African American poets. Cave Canem will convene two week-long retreats for over 90 writers.</p>	<p>\$10,000</p>
<p>Just Buffalo Literary Center, Inc. Buffalo, NY</p> <p>To support Writers in Education, a multifaceted program to enhance motivation for writing, reading, and communicating among 47,000 children attending public school in Buffalo, New York. Activities include writer residencies, professional development training for teachers, workshops at a local art gallery, and a partnership with a Native American magnet school to infuse the arts into the curriculum.</p>	<p>\$10,000</p>
<p>Loft, Inc. (consortium) Minneapolis, MN</p> <p>To support educational programs initiated by Open Book, a new facility for literary arts created by The Loft, Milkweed Editions, and the Minnesota Center for Book Arts. Open Book will host an opening event for teachers and provide readings, writing workshops, and bookmaking instruction for Minneapolis youth.</p>	<p>\$10,000</p>
<p>Log Cabin Literary Center, Inc. Boise, ID</p> <p>To support writers-in-residence in schools and communities throughout Idaho. Log Cabin Literary Center will sponsor 28-week residencies in 15 schools and communities, publish anthologies of student writings, and host readings by visiting writers and their students.</p>	<p>\$30,000</p>

Missoula Writing Collaborative **\$10,000**
Missoula, MT

To support Writing 501, a writer-in-residence program for middle and high school youth in Western Montana. The Missoula Writing Collaborative will place one writer-in-residence in each of six schools.

PEN American Center, Inc. **\$50,000**
New York, NY

To support the Readers & Writers Community Development Project, which brings authors and their books to a variety of educational settings around the country. PEN also will launch the Book Group Initiative, a pilot program in Brooklyn to create discussion groups in community libraries, religious institutions, private homes, and workplaces.

PEN Center USA West **\$20,000**
Los Angeles, CA

To support Write Through Life, a project consisting of residencies for writers in Los Angeles high schools, mentorships for emerging writers from underserved and minority communities, and seminars on practical topics for professional writers in Texas, Arizona, Oregon, and Washington.

Seattle Arts & Lectures **\$20,000**
Seattle, WA

To support the expansion of Writers in the Schools, an educational project targeting local communities and secondary schools in the Seattle area. Seattle Arts & Lectures will provide teacher training, classroom residencies and mentoring sessions with established and emerging writers, and local readings and publications featuring the work of young writers.

Teachers & Writers Collaborative **\$30,000**
New York, NY

To support the expansion of WriteNet, an internet initiative to provide writers, students, teachers, and parents around the country with access to literary arts education materials. The Web site will feature professional development services for writers and teachers, and a series of on-line writing workshops.

Woodland Pattern Book Center, Inc. **\$10,000**
Woodland Pattern Book Center, Inc.
Milwaukee, WI

To support Poetry Without Walls, an outreach program in Milwaukee's inner city featuring weekly writing workshops for youth, neighborhood poetry murals, and creative writing day camps.

Literature Grants in Access, FY 2000

Access grants support projects which broaden, diversify, and increase the kinds of arts events or activities available to the American public, and provide access to arts experiences in communities or areas where such activities are not readily available.

In Literature, 16 grants were awarded, totaling \$368,000.

<u>GRANT</u>	<u>AMOUNT</u>
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Academy of American Poets New York, NY	\$50,000
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To support the coordination of National Poetry Month, a project that connects the Academy with schools, libraries, bookstores, and cultural organizations to bring poetry to communities across the country in new and imaginative ways. During April 2000, the Academy will host library readings, outreach efforts to bring poetry to school curricula, and special features on the organization's Web site.

Alabama Writers' Forum, Inc. Montgomery, AL	\$20,000
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To support literary arts programs in Alabama, including Writing Our Stories, creative writing workshops for youth involved with Alabama's juvenile justice system, and Alabama Voices, a series of public readings in libraries and rural community centers around the state.

Amherst Writers & Artists Press Amherst, MA	\$25,000
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To support Amherst Writers and Artists Institute's Low Income Writing Workshop Program for youth living in public housing in Western Massachusetts. The institute also will help train writers, teachers, and social workers around the country to lead writing workshops for at-risk youth.

Arizona State University (on behalf of Bilingual Review Press) Tempe, AZ	\$20,000
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To support the distribution of 950 titles of Hispanic, Latin American, and Spanish literature to 2,600 bookstores throughout the United States. Bilingual Review Press will distribute free copies of books to rural and inner-city schools, domestic abuse centers, and prisons.

BCA Development Corporation (consortium) **\$30,000**
Bronx, NY

To support the Youth Poetry Slam League, a WritersCorps project designed to use teens' natural penchant for competition and self-expression to introduce them to the written and spoken word. WritersCorps is a consortium of three local arts and humanities agencies: the Humanities Council of Washington, DC, the Bronx Council on the Arts, and the San Francisco Arts Commission.

Children's Book Press **\$20,000**
San Francisco, CA

To support LitLinks, a series of online residencies connecting low-income youth with established writers and artists. Projected sites include elementary and middle schools, and community-based literacy programs in California, Texas, New York, Colorado, Minnesota, Georgia, and Washington, DC.

Curbstone Press (on behalf of the Windham Area Poetry Project) **\$5,000**
Willimantic, CT

To support the Windham Area Poetry Project, a program of readings and writing workshops serving immigrant communities, senior care homes, juvenile homes, prisons, social service organizations and public schools in northeastern, rural Connecticut.

Illinois State University **\$5,000**
(on behalf of **Unit for Contemporary Literature**)
Normal, IL

To support the maintenance and expansion of Litline, a Web site serving the nation's independent literary community. Litline receives more than 40,000 visitors each month.

National Book Foundation **\$18,000**
New York, NY

To support literary outreach programs that link National Book Award authors with underserved communities throughout the country. Programs include American Voices, which brings established writers to American Indian reservations nationwide, and a Summer Writing Camp for inner-city teens and adults.

Poetry Society of America **\$25,000**
New York, NY

To support the continuation and expansion of Poetry in Motion, a program that places poetry placards in public transportation systems. The Poetry Society of America will continue existing programs in Atlanta; Baltimore; Chicago; Dallas; Eugene and Portland, Oregon; Los Angeles; New York; and Philadelphia; and will help launch the program in Austin, Texas, and Amherst, Massachusetts.

Small Press Distribution, Inc. **\$50,000**
Berkeley, CA

To support a targeted distribution initiative to provide individuals, libraries, and bookstores in all 50 states with publications from 500 small and independent presses.

Writer's Garret, Inc. **\$20,000**
Dallas, TX

To support publication and related expenses for *TEX!*, a free multicultural literary magazine distributed in newspapers throughout Texas, and a series of promotional readings by poets and writers featured in the magazine. *TEX!* will increase its circulation to 550,000 readers as an insert in seven community newspapers including *The Dallas Morning News*.

Writers In The Schools (WITS) **\$15,000**
Houston, TX

To support creative writing residencies in public schools for economically disadvantaged students in Houston, Texas.

YMCA of the USA **\$50,000**
Chicago, IL

To support the 10th anniversary of the National Writers's Voice Readings Tour, which will bring 35 established writers to 21 underserved communities around the country, and the National Writers Community, which will place 24 mid-career writers in six-month residencies at 12 centers nationwide.

Young Men's and Young Women's Hebrew Association (consortium) **\$10,000**
New York, NY

To support a consortium project between the 92nd Street Y and East Harlem's Union Settlement Association, which will bring 12 established writers to Union Settlement's adult education programs. Proposed authors include Paul Theroux, Denise Chavez, Luisa Valenzuela, Maxine Hong Kingston, Nicanor Parra, Sergio Ramirez, and Charles Johnson.

Young Mens Christian Association of Billings
Billings, MT

\$5,000

To support literary programs in 35 towns, 18 counties, and three Native American reservations throughout Montana and Wyoming. Activities include readings, writing workshops and school residencies, and a weekly program of interviews with writers for broadcast on Yellowstone Public Radio.

Literature Grants in Creation & Presentation, FY 1999

Creation & Presentation grants help create a broad range of new artistic work through commissions and residencies, and support the presentation of performing arts, exhibitions, media arts programs, and literature.

In Literature, 45 grants were awarded totaling \$884,500.

<u>GRANT</u>	<u>AMOUNT</u>
<p>Bamboo Ridge Press Honolulu, HI</p> <p>To support the publication, distribution, and promotion of an anthology of prose and poetry by American women writers of mixed Asian ancestry. Free readings by selected writers are planned for venues such as the University of Hawaii Center Campus in Honolulu; the Volcano Art Center on the island of Hawaii; and the Japanese-American National Museum in Los Angeles, California. (National/Multi-State Impact)</p>	<p>\$10,000</p>
<p>Bard College (<i>Conjunctions</i>) Annandale-Hudson, NY</p> <p>To support publication, circulation, and related expenses, including authors' fees, for two issues of <i>Conjunctions</i>. Each issue will be distributed to subscribers in 33 states and to bookstores throughout the country. (National/Multi-State Impact)</p>	<p>\$10,000</p>
<p>BOA Editions, Ltd. Rochester, NY</p> <p>To support the production, promotion and related expenses for new volumes of poetry comprising <i>Cutting Through the Passable Truths</i> publishing project. Scheduled titles include Mark Irwin's <i>White City</i>; Alpay Ulku's <i>Meteorology</i>; and David Ignatow's posthumous collection, <i>Stones Will Pay Me Heed</i>. (National/Multi-State Impact)</p>	<p>\$20,000</p>
<p>Bridge Center for Contemporary Art (as fiscal agent for Cinco Puntos Press) El Paso, TX</p> <p>To support the publication and national distribution of books exploring the Mexican and American Chicano experience. The volumes will be promoted at readings in the Southwest, California, and Oregon, and made available to trade bookstores throughout the nation by Consortium Book Sales and Distribution. (National/Multi-State Impact)</p>	<p>\$7,500</p>

CALYX, Inc. **\$18,000**
Corvallis, OR

To support Calyx Journal's *New Writers, New Readers* program. Components of the project include an expanded format for the literary magazine, increased honoraria for writers and artists, a new writer reading series, and a direct mail subscription campaign. (National/Multi-State Impact)

Coffee House Press **\$25,000**
Minneapolis, MN

To support the publication, promotion, and national distribution of books by contemporary African-American writers. Proposed volumes include titles by John A. Williams, Ted Joans, Clarence Major, and Quincy Troupe. (National/Multi-State Impact)

Copper Canyon Press **\$25,000**
Port Townsend, WA

To support the publication and national distribution of books of poetry by mid-career poets. Promotional author readings will be scheduled throughout the country at bookstores, libraries, and literary conferences. (National/Multi-State Impact)

Creative Nonfiction Foundation **\$5,000**
Pittsburgh, PA

To support the publication and promotion of one issue of *Creative Nonfiction*. A direct mail campaign will target 50,000 potential subscribers nationwide. (National/Multi-State Impact)

Curators of the University of Missouri at Columbia **\$9,000**
Columbia, MO

To support the publication and national distribution of issues of the *Missouri Review*. The magazine will produce one general issue and a special issue focusing on History in Literature, to reach an audience of 40,000 readers from all fifty states and to be placed in 350 public libraries nationwide. (National/Multi-State Impact)

Curbstone Press **\$25,000**
Willimantic, CT

To support *Literature in Translation: Opening Doors Between Cultures*, a project to publish and distribute contemporary poetry and fiction by writers from Latin America and Vietnam. Curbstone Press will sponsor readings by international writers in bookstores, libraries, schools, and community centers. (National/Multi-State Impact)

Feminist Press, Inc. **\$25,000**
New York, NY

To support the publication and national distribution of books in the *Feminist Press International Women's Writing Project*. Works proposed for publication include Marjorie Agosin's *Always From Somewhere Else: A Memoir of My Chilean Jewish Father*; Dacia Mariani's historical novel, *The Silent Duchess*; and an anthology, *The House of Memory: Stories by Jewish Women Writers of Latin America*. (National/Multi-State Impact)

Fund for Independent Publishing **\$50,000**
New York, NY

To support the continued expansion of *The New Press's International Literature Publishing Program*. The press will publish work by writers such as Wole Soyinka, Julio Cortazar, and Marie Darrieussecq, and develop outreach campaigns to targeted bookstores and community organizations. (National/Multi-State Impact)

Gettysburg College **\$10,000**
Gettysburg, PA

To support payments to contributors and promotional expenses for the *Gettysburg Review*. A direct mail campaign on behalf of the literary journal will target 50,000 potential readers across the country. (National/Multi-State Impact)

Graywolf Press **\$60,000**
St. Paul, MN

To support the publication, promotion, and national distribution of titles in Graywolf Press's literary nonfiction publishing program. Scheduled titles include work by Sven Birkerts, Alice Fulton, Jan Zita Grover, and Barrie Boruch. (National/Multi-State Impact)

Guild Complex (Tia Chucha Press) **\$8,000**
Chicago, IL

To support the publication of books of poetry by Tia Chucha Press which will be distributed nationally by Northwestern University Press. The press will publish the winner of the Ana Castillo Poetry Prize, an emerging African-American poet selected by Elizabeth Alexander and Afaa M. Weaver, and a first book by an Asian-American writer selected by Kyoko Mori. (National/Multi-State Impact)

Latin American Literary Review Press **\$15,000**
Pittsburgh, PA

To support publication costs, promotion, and related expenses, including authors' royalties, for volumes of fiction by Latin American writers. The publishing house also will sponsor readings by writers such as Gloria Duran, Jorge Stamatian, and Cristina Peri-Rossi at bookstores, universities, high schools, and middle schools in Washington, New York, Philadelphia, and Pittsburgh. (National/Multi-State Impact)

Loft, Inc. **\$15,000**
Minneapolis, MN

To support *Double Take*, a series of collaborative public programs exploring relationships between literature and other art forms and pastimes. The project will commission a diverse slate of Minnesota writers to create original works inspired by music, sports, visual arts, and literature of the past, and present the resulting works at interdisciplinary events cosponsored by cultural institutions and community organizations.

Los Angeles Poetry Festival **\$5,000**
Los Angeles, CA

To support the *Fin de Millennium Poetry Festival*, a city-wide celebration of poetry featuring well-known Los Angeles writers as well as national literary figures. Scheduled for November 1999, the festival will feature poetry readings in venues such as Beyond Baroque Literary Center, the Japanese American Museum, Self-Help Graphic, and the World Stage.

**Louisiana State University and Agricultural
and Mechanical College** **\$30,000**
Baton Rouge, LA

To support production costs and related expenses for books of poetry published by Louisiana State University Press. Scheduled titles include Roland Flint's *Easy*, Brendan Galvan's *The Strength of a Named Thing*, David Huddle's *Summer Lake: New and Selected Poems*, Sue Owen's *My Doomsday Sampler*, and Deborah Pope's *Falling Out of the Sky*. (National/Multi-State Impact)

Midwest Center for the Literary Arts, Inc. **\$8,000**
(The Writer's Place)
Kansas City, MO

To support the fifth annual *Poets-at-Large*, a festival featuring poetry readings and discussions at artists' studios within the Kansas City metropolitan area. Scheduled for April 2000, the festival will be hosted by the Center's programming arm, The Writers Place, and feature poets such as Lorna Dee Cervantes, Gwendolyn Brooks, Mart n Espada, Albert Goldbarth, Linda Hogan, and N. Scott Momaday.

Milkweed Editions, Inc. **\$40,000**
Minneapolis, MN

To support the publication and national distribution of books in Milkweed Edition's *The World As Home* publishing program. This series of literary nonfiction titles will explore the relationship between humanity and the natural and physical world.
(National/Multi-State Impact)

Mountain Writers Series **\$20,000**
Portland, OR

To support *the Community Residencies Program*, which brings writers of national stature to Portland, Oregon; and the *Northwest Regional Residencies Program* which tours writers to rural areas in Oregon, Washington, and Alaska. Scheduled authors include James Tate, Dara Wier, Sandra Cisneros, Alberto Rios, Andrea Barrett, and Yvengy Yevtushenko. (National/Multi-State Impact)

National Poetry Series, Inc. **\$7,000**
Hopewell, NJ

To support production subsidies for the publication of five poetry volumes selected from the National Poetry Series 2000 Open Competition. Chosen by distinguished poets, the five winning manuscripts will be published by Milkweed Editions, W.W. Norton, Sun & Moon Press, the University of Illinois Press, and Viking Penguin. (National/Multi-State Impact)

Pacific Film and Literary Association **\$5,000**
Corte Madera, CA

To support publication, promotion, and related expenses, including writers' fees, for one issue of *Volt: A Magazine for the Arts*. The organization also will publish an online anthology of writing from *Volt* and undertake a subscription drive targeting libraries and booksellers across the country. (National/Multi-State Impact)

Ploughshares, Inc. **\$11,000**
Boston, MA

To support the publication and national circulation of two issues of *Ploughshares* to 6,000 readers across the country. The Winter 2000 issue will be guest-edited by Madison Smartt Bell and Elizabeth Spires; Paul Muldoon will guest-edit the second issue, to be published in Spring 2000. (National/Multi-State Impact)

Poetry in Review Foundation, Inc. **\$10,000**
(Parnassus: Poetry in Review)
New York, NY

To support the publication of a special 25th anniversary issue of *Parnassus: Poetry in Review* focusing on international poetry. This issue will emphasize Middle Eastern poetry and feature retrospective essays on poets such as Miroslav Holub and Anna Akhmatova. (National/Multi-State Impact)

Poetry Project, Limited **\$15,000**
New York, NY

To support the *Monday Night* and *Wednesday Night Reading and Performance Series*, which will feature live presentations by more than 100 poets and performers. Poets under consideration include John Ashbery, Ishmael Reed, Jamaica Kincaid, Robert Creeley, Russell Banks, Jessica Hagedorn, and Sonia Sanchez.

Sarabande Books, Inc. **\$25,000**
Louisville, KY

To support production, promotion, and related expenses, including authors' royalties, for volumes in Sarabande Books's *Three Faces of Eve* publishing project. Designed to highlight the work of emerging women writers, the project will include books by Kathleen Halme, Cathleen Calbert, and Becky Hagenstorm. (National/Multi-State Impact)

Story Line Press, Inc. **\$20,000**
Brownsville, OR

To support the publication, promotion, and national distribution of anthologies featuring contemporary American poetry. Scheduled titles include *The Story Line Anthology of Cowboy Poetry* and *The Forms of Poetry: A Contemporary Handbook*. (National/Multi-State Impact)

Tennessee Humanities Council **\$20,000**
Nashville, TN

To support the *1999 Southern Festival of Books: A Celebration of the Written Word*, a free literary festival that will reach an estimated audience of 30,000 people. Organized by the Tennessee Center for the Book, the festival will feature 200 authors in panel discussions, readings, and autograph-signings.

Threepenny Review **\$12,000**
Berkeley, CA

To support authors' fees and promotional costs for four issues of the *Threepenny Review*. Featuring work by 100 established and emerging writers, the proposed issues will be promoted through a direct mail subscription campaign targeting 75,000 readers in the Midwest and the South. (National/Multi-State Impact)

University of Alaska at Anchorage **\$7,000**
Anchorage, AK

To support publication expenses and related costs for a special issue of *Alaska Quarterly Review* featuring fiction and essays written in the first person. *One Blood: The Narrative Impulse* will include work by 30 writers and be distributed nationally by B. DeBoer and Ingram Periodicals. (National/Multi-State Impact)

University of Hawaii at Manoa **\$25,000**
Honolulu, HI

To support publication, promotion, distribution, and related expenses for issues of *Manoa: A Pacific Journal of International Writing*. Scheduled issues will feature new writing from Singapore, Indonesia, Australia, Korea, and Japan; and include poetry and prose by American writers from diverse cultural backgrounds. (National/Multi-State Impact)

University of Massachusetts at Boston **\$20,000**
Boston, MA

To support production costs and related expenses for volumes of fiction and poetry by Vietnamese veterans and survivors of the Vietnam-American War published by the University of Massachusetts Press. Projected titles include translations of Nguyen Quang Sang's *Chic Luoc Nga (An Ivory Comb)* and an anthology of short stories by contemporary Vietnamese women writers. (National/Multi-State Impact)

University of Missouri at Kansas City **\$10,000**
Kansas City, MO

To support the production of radio programs featuring minority writers for the nationally broadcast radio series, *New Letters on the Air*, and the publication of work by writers featured on the radio show in the literary magazine, *New Letters*. The organization also will produce a *Minority Voices Reading Series* featuring writers such as Garrett Hongo and Gloria Naylor. (National/Multi-State Impact)

University of Nebraska at Lincoln **\$15,000**
Lincoln, NE

To support publication costs and related expenses, including translators' fees, for works of international fiction and literary nonfiction published by the University of Nebraska Press. Scheduled titles include translations of Patrick Chamoiseau's *Antan d'enfance*, Edouard Glissant's *Le quatrieme siecle*, Maryse Conde's *Pays Mele, suivi de Nanna-ya*, and Raymond Queneau's *Contes et propos*. (National/Multi-State Impact)

University of Pittsburgh Main Campus **\$20,000**
Pittsburgh, PA

To support the production and promotion of books in the University of Pittsburgh Press *Pitt Poetry Series*. Proposed titles include new collections of poetry by Billy Collins, Alicia Suskin Ostriker, Minnie Bruce Pratt, Michael Walleghen, and Dean Young. (National/Multi-State Impact)

University of South Carolina at Columbia **\$15,000**
(University of South Carolina Press)
 Columbia, SC

To support the publication and promotion of volumes in the James Dickey *Contemporary Poetry Series*. Selected and edited by Richard Howard, titles in the poetry series will be promoted through national advertising, author readings, the distribution of advance review copies, and a direct mail campaign targeting members of the Modern Language Association and the Academy of American poets.
 (National/Multi-State Impact)

Western Michigan University **\$10,000**
 Kalamazoo, MI

To support the publication, promotion, and distribution of books by emerging writers in the *New Issues Press Poetry Series*. Dedicated to publishing first books of poetry, the press will publish volumes selected by Pulitzer Prize-winning poet Philip Levine and other distinguished writers. (National/Multi-State Impact)

Writer's Center **\$12,000**
 Bethesda, MD

To support honoraria and related expenses for writers' residencies in edge cities and rural areas bordering the Washington metropolitan area. The Writer's Center will work with six civic groups and community cultural organizations to establish readings and workshops in areas of population growth.

Writer's Garret, Inc. **\$20,000**
 Dallas, TX

To support publication and related expenses for *TEX!*, a free multicultural literary magazine distributed in newspapers throughout Texas, and a series of promotional readings by poets and writers featured in the magazine. *TEX!* is circulated to 100,000 readers as an insert in *The Dallas Morning News*, *Wichita Falls Times Record News*, and *Today Newspapers*.

Writers Room, Inc. **\$10,000**
 New York, NY

To support subsidized workspace for emerging writers using The Writers Room, an urban writer's colony in New York City. The organization also will provide full annual scholarships for four writers.

Yale University (*Yale Review*) **\$20,000**
New Haven, CT

To support authors' payments, editorial expenses, and related costs for issues of the *Yale Review*. Founded in 1911, the literary magazine is distributed to 1,200 libraries and 300 bookstores across the country. (National/Multi-State Impact)

YMCA of the USA **\$60,000**
Chicago, IL

To support the *Writer's Voice National Readings Tour*, which will bring distinguished writers to YMCA Writers Voice Centers throughout the country, and the Writer's Community, a program which places poets and writers in long-term residencies at local YMCA Centers. *The National Readings Tour* will feature 40 writers reading to audiences in communities such as Savannah, Georgia; Bangor, Maine; Voorhees, New Jersey; Bellingham, Washington; Las Vegas, Nevada; Miami, Florida; Tampa, Florida; Billings, Montana; and Silver Bay, New York. (National/Multi-State Impact)

Young Men's & Young Women's Hebrew Association **\$75,000**
(Unterberg Poetry Center of the 92nd Street Y)
New York, NY

To support the *National Readings Tour* will feature 40 writers reading to audiences in communities such as Savannah, Georgia; Bangor, Maine; Voorhees, New Jersey; Bellingham, Washington; Las Vegas, Nevada; Miami, Florida; Tampa, Florida and Billings, Montana. Authors confirmed for the series include Edward Albee, Athol Fugard, Susan Sontag, Alice Walker, Maxine Hong Kingston, Wendell Berry, and Rose Tremain.

Literature Grants in Planning & Stabilization, FY 1999

Planning & Stabilization grants assist American arts organizations assess their strengths and weaknesses, develop strategies for long-term financial health, and plan for stability.

In Literature, 5 grants were awarded, totaling \$214,000.

<u>GRANT</u>	<u>AMOUNT</u>
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Associated Writing Programs Fairfax, VA	\$32,500
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To support the publication, marketing, and national distribution of Associated Writing Program's professional journal, *The Writer's Chronicle*, and the AWP Job List. The organization will establish national bookstore distribution and launch a 150,000-piece direct mail subscription campaign for *The Writer's Chronicle*, and integrate the AWP Job List into its Web site.

Council of Literary Magazines and Presses New York, NY	\$42,500
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To support *Connections for the New Century*, a project that will strengthen the community of literary publishing and highlight the role independent literary magazines and presses play in contemporary American letters. The Council of Literary Magazines and Presses (CLMP) will continue to publish its professional newsletter, *CLMPages*, and the Directory of Literary Magazines, and reach out to new constituencies through the publication of expanded promotional materials and the coordination of three regional focus group meetings.

Kenyon College (<i>Kenyon Review</i>) Gambier, OH	\$60,000
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To support the augmentation of an endowment for *The Kenyon Review*, a literary magazine founded in 1939 by poet John Crowe Ransom.

Poetry Flash Berkeley, CA	\$9,000
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To support the development of a strategic business plan for *Poetry Flash*, a free tabloid literary magazine and comprehensive events calendar for California and the West. The strategic plan will address the organization's editorial and production functions, its circulation and marketing, and its financial controls.

Poets & Writers, Inc.
New York, NY

\$70,000

To support a national marketing campaign for the professional journal, *Poets & Writers*. Poets & Writers will undertake a 900,000-piece direct mail campaign targeting members of Associated Writing Programs, The Loft, and Poets House; and readers of magazines such as *Ploughshares*, *Granta*, *Lingua Franca*, *Mississippi Review*, and *Calyx*.

Literature Grants in Heritage & Preservation, FY 1999

Heritage & Preservation grants support projects that reflect and perpetuate this country's many traditions, preserve significant artistic accomplishments, and conserve important works of art.

In Literature, 11 grants were awarded, totaling \$234,500.

<u>GRANT</u>	<u>AMOUNT</u>
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Before Columbus Foundation Oakland, CA	\$7,000
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To support the 20th annual *American Book Awards*, which celebrate the tradition of multicultural writing in America: Before Columbus Foundation will coordinate an award ceremony at Book Expo America in April 1999, and assist publishers to promote winning titles.

Contemporary Arts Educational Project, Inc. Los Angeles, CA	\$20,000
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To support the publication and national distribution of books in Sun & Moon Press's *Green Integer* series. Literary nonfiction by authors such as Will Alexander, Louis-Ferdinand Celine, Gertrude Stein, Charles Henry Ford, Knut Hamsun, and Mark Twain will be included in the series.

Council of Literary Magazines and Presses (Fiscal Agent for <i>The Paris Review</i>) New York, NY	\$7,500
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To support eight *Writers-at-Work* interviews in *The Paris Review*. Potential interviewees include Jorie Graham, John Edgar Wideman, Adrienne Rich, Jamaica Kincaid, Galway Kinnell, August Wilson, David Foster Wallace, T. C. Boyle, Shelby Foote, and Carolyn Kizer.

Jewish Heritage Writing Project, Inc. New York, NY	\$20,000
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To support annual residencies coupling young established writers with Holocaust survivors to produce publishable literary memoirs.

Moonstone, Inc. **\$5,000**
Philadelphia, PA

To support Moonstone's *16th Annual Celebration of Black Writing*, to take place during February 2000. Proposed speakers include Henry Louis Gates, Jr., Nikki Giovanni, Charles Johnson, George Wolfe, and Virginia Hamilton.

New Rivers Press, Inc. **\$10,000**
Minneapolis, MN

To support the publication and national distribution of an anthology featuring fiction, creative nonfiction, and poetry by Americans of Southeast Asian descent. Co-edited by Cheng Lok Chua and Shirley Lim, *Tilting the Continent* will feature emerging writers of Bruneian, Burmese, Cambodian, Filipino, Hmong, Indonesian, Laotian, Malaysian, Singaporean, Thai, and Vietnamese heritage.

Poets House, Inc. **\$35,000**
New York, NY

To support the seventh annual *Poetry Publication Showcase*, a month-long exhibit of new poetry books designed to gather and preserve the breadth of poetry in print. Poets House will present the Showcase to 18,000 librarians at the American Library Association Conference in New Orleans, Louisiana, and will publish the *Directory of American Poetry Books*, the only bibliographic resource that tracks the annual publication of poetry in America.

Review of Contemporary Fiction, Inc. **\$45,000**
Normal, IL

To support the restoration of major works of modern and contemporary fiction by Dalkey Archive Press. Authors whose works will be republished include William Gass, Ishmael Reed, Gertrude Stein, Stanley Elkin, Flann O'Brien, William Eastlake, Jos Lezama Lima, and Elaine Kraf.

San Francisco State University (The Poetry Center) **\$15,000**
San Francisco, CA

To support the restoration of historical film footage from the Poetry Center's American Poetry Archives, and the development and promotion of the *Writing and Community Series*, dedicated to videotaping established and emerging writers.

University of Houston (Arte Publico Press)
Houston, TX

\$40,000

To support the *Pioneers of Modern Hispanic Literature series*, a project by Arte Publico Press to restore to print foundational literary works from the 1960's and 70's. The press will publish and promote the work of authors such as Jaime Carrero, Abelardo Delgado, Angela de Hoyos, and Jos Yglesias, making them once again available to a nationwide audience.

Words Given Wings Literary Arts Project (Mercury House)
San Francisco, CA

\$10,000

To support the republication by Mercury House of literary books that have become financially inviable for commercial presses. Each book will be selected by an established contemporary writer who will provide an introductory essay.

Literature Grants in Education & Access, FY 1999

Education & Access grants support projects which broaden educational experiences for people of all ages, reach new audiences, and generate greater appreciation of diverse art forms.

In Literature, 24 grants were awarded, totaling \$631,000.

<u>GRANT</u>	<u>AMOUNT</u>
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Academy of American Poets New York, NY	\$50,000
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To support the coordination of *National Poetry Month*, a project whereby the Academy collaborates with schools, libraries, bookstores, and cultural organizations to bring poetry to communities across the country in new and imaginative ways. During April 1999, the Academy will host library readings, outreach efforts to bring poetry to school curricula, and special features on the organization's Web site.

Amherst Writers & Artists Press, Inc. (Amherst Writers & Artists Institute) Amherst, MA	\$5,000
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To support *Amherst Writers and Artists Institute's Low Income Writing Workshop Program* for women and children living in public housing in Western Massachusetts. Workshops will be held at the Cabot Manor Housing Project and the Senecal Apartments in Chicopee, the Martin Luther King Center in Springfield, the Hampshire Heights Housing Project in Northampton, and the Grace House transition home for women in Amherst.

BCA Development Corporation (Consortium) Bronx, NY	\$50,000
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To support *Developing Writers in America's Communities*, a WritersCorps project designed to enhance the professional development of writers and expose underserved populations to the literary arts. WritersCorps is a consortium of three local arts and humanities agencies: the Humanities Council of Washington, DC, the Bronx Council on the Arts, and the San Francisco Arts Commission.

Boise State University (Poetry in Public Places Series) **\$6,000**
Boise, ID

To support *Idaho Skylights*, a project to place illustrated poetry posters on school bus ceilings and engage poets and artists featured on the posters to ride rural morning bus routes to discuss poetry with students. Funds also will be used to establish and maintain an interactive Web site for young Idaho writers and artists.

Children's Book Press **\$40,000**
San Francisco, CA

To support *LitLinks*, a series of online residencies connecting 1,400 low-income youth with established writers and artists. Projected sites include elementary and middle schools, libraries, and community-based literacy programs in California, Texas, New York, Illinois, and Washington, D.C.

Communities of Faith for Housing **\$5,000**
(Hoboken Shelter Creative Writing Workshop)
Hoboken, NJ

To support the continuation and expansion of the *Creative Writing Workshop* at the Hoboken Homeless Shelter. The workshop will increase the circulation of its quarterly anthology *Pieces From Wandering Minds*, add a fall performance of its stage work *Voices From the Shelter*, and hire an assistant director to recruit new participants.

Council of Literary Magazines and Presses (Consortium) **\$40,000**
New York, NY

To support *New Readers for New Writers*, a consortium project between the Council of Literary Magazines and Presses and Small Press Distribution to increase the accessibility of literary magazines to the general public.

Log Cabin Literary Center, Inc. **\$30,000**
Boise, ID

To support writers-in-residence in schools and communities throughout Idaho. Log Cabin Literary Center will sponsor 28-week residencies in 15 schools and communities, publish anthologies of student writings, and host readings by visiting writers and their students.

National Book Foundation, Inc. \$15,000
New York, NY

To support *American Voices*, a project that brings established writers to American Indian reservations nationwide. Scheduled residency sites include the Rosebud Reservation in South Dakota, the Fort Belknap Reservation in Montana, and the Stockbridge-Munsee Reservation in Wisconsin.

PEN American Center, Inc. \$50,000
New York, NY

To support the *Readers & Writers Community Development Project*, which brings authors and their books to a variety of educational settings. PEN American Center will continue its visiting writer program at sites in New York, Texas, and Arizona; and establish new programs sites in the Northwest, New England, and Illinois.

PEN Center USA West \$32,500
Los Angeles, CA

To support *Write Through Life*, a project consisting of residencies for writers in Los Angeles high schools, mentorships for emerging writers from underserved and minority communities, and seminars on practical topics for professional writers in Montana, Arizona, and Colorado.

Poetry Society of America \$25,000
New York, NY

To support the continuation and expansion of *Poetry in Motion*, a program that places poetry placards in public transportation systems. The Poetry Society of America will continue existing programs in Atlanta; Chicago; Los Angeles; New York; Philadelphia; Portland, Oregon; and Washington, DC, and will help launch the program in Dallas, Miami, Cincinnati, and Boston.

Poets House, Inc. (Consortium) \$40,000
New York, NY

To support the expansion of the *Poets House Poetry in the Branches Program* to libraries throughout the nation. In collaboration with the American Library Association, the organization will publish and distribute a *Poetry in the Branches Guidebook*, produce a two-day training seminar for librarians, convene a focus group of potential

Seattle Arts & Lectures **\$22,500**
Seattle, WA

To support *Writers in the Schools*, an educational project targeting local communities and secondary schools in the Seattle area. Seattle Arts & Lectures will provide teacher training, classroom residencies and mentoring sessions with established and emerging writers, and local readings and publications featuring the work of young writers.

Small Press Distribution, Inc. **\$50,000**
Berkeley, CA

To support a targeted distribution initiative to provide individuals, libraries, and bookstores in all 50 states with publications from 500 small and independent presses.

Teachers and Writers Collaborative **\$7,500**
New York, NY

To support the publication and national distribution of *The Teachers & Writers Guide to Nature Writing*. Teachers and Writers also will develop a series of professional workshops for teachers on using nature writing in the classroom.

Trustees of Amherst College **\$5,000**
(The Folger Shakespeare Library)
Washington, DC

To support the *Folger Poetry Series*, a series of poetry readings at the Folger Shakespeare Library in Washington, D.C., and a coordinated series of outreach and educational programs.

University of Virginia (Callaloo) **\$25,000**
Charlottesville, VA

To support *Writing the Self and Community: Callaloo Writing Workshops for Historically Black Institutions*. Participating institutions include Fisk University in Nashville, Morehouse College in Atlanta, and Xavier University in New Orleans.

Woodland Pattern Book Center, Inc. (Consortium) **\$30,000**
Milwaukee, WI

To support *Poetry Without Walls*, an outreach program featuring weekly writing workshops for youth, poetry on public radio, neighborhood poetry murals, and creative writing day camps. Consortium members include Franklin Pierce Elementary School, Marquette University High School, Milwaukee School of Engineering, public radio station WMSE-FM, and the University of Wisconsin's Department of Art.

World Poetry Bout Association **\$5,000**
Taos, NM

To support the *Taos Poetry Circus's Education Project*, which seeks to develop a model curriculum for teaching contemporary poetics and performance in the classroom. The organization also will sponsor poetry classes for emerging writers, panel discussions featuring distinguished poets, high school poetry slams, and an annual anthology of student writing.

Writers In The Schools **\$35,000**
Houston, TX

To support eight creative writing residencies in juvenile probation facilities in and around Houston, Texas. Student writing and instructional material resulting from the residencies will be published and distributed to writers, teachers, and juvenile probation employees throughout the country.

Young Men's Christian Association of Billings **\$10,000**
Billings, MT

To support *Expanding the Literary Frontier*, a project designed to provide literary programs for students in four northern Wyoming counties, implement a weekly program of interviews with writers for broadcast on Yellowstone Public Radio, and improve the technical quality of literary broadcasts on community access television.

Zora Neale Hurston/Richard Wright Foundation **\$5,000**
Richmond, VA

To support *Hurston/Wright Writers Week*, a series of summer writers workshops geared toward African American writers. Events are held on the campuses of Virginia Commonwealth University in Richmond, Virginia, and Saint Mary's College of California in Moraga, California.

Literature Leadership Initiatives, FY 1999

Leadership Initiatives support projects that will advance the arts significantly, and have national or field-wide importance.

In Literature, 1 grant was awarded for \$175,000.

<u>GRANT</u>	<u>AMOUNT</u>
Literary Journal Institute New York, NY	\$175,000

To support the Literary Journal Institute, a two-year project to provide individual literary magazines with professional assistance to develop plans for increasing both earned and contributed income, and to stabilize this area of the field by constructing a network of mentoring relationships among literary journals, thus ensuring that expertise gained by more established publications is shared with younger, developing magazines.

37. Do you achieve a broad geographic distribution with your literature grants? Where do most of the grantees live?

ANSWER 37: During the last two years, the agency has received over 1,200 fellowship applications from writers each year. We use a blind adjudication process in which panelists do not know the identity, publishing history, or background of the applicants, but base their recommendations solely on the artistic merit of an anonymous sample manuscript submitted by the applicant. For the past five years, the Endowment has been able to offer support to less than five percent of the Literature Fellowship applicants each year. During this time, the agency has supported 195 writers and translators living in 41 states and the District of Columbia. Unlike artists working in other disciplines who require large institutions and collaborative teams to mount performances or exhibitions, a work of literature is the product of a single individual who need not live in close proximity to his or her publisher. The writers who have received fellowships recently, therefore, hail both from large cities in populous states and from rural and semi-rural towns such as Story, Wyoming; Norman, Oklahoma; and Oxford, Mississippi. Literature Fellowship grant lists for the last five years are attached as Exhibit G.

Literature Fellowships - Poetry, FY 2001

The Creative Writing program operates on a two-year cycle with fellowships in prose available one year and fellowships in poetry available the next. Creative Writing Fellowships help recipients set aside time to write, conduct research, and otherwise advance their art form.

In Poetry, 35 fellowships totaling \$ 700,000 were awarded. Each grantee will receive \$20,000.

Barot, Enrique P
Oakland, CA

Finkelstein, Caroline
Westport Point, MA

Ben-Tov Muir, Sharona
Perrysburg, OH

Foo, Josephine
Philadelphia, PA

Bentley, Roy
Granville, OH

Foss, Phillip O.
San Juan Pueblo, NM

Berke, Judith A.
Miami Beach, FL

Gander, Forrest
Barrington, RI

Bond, Bruce C.
Denton, TX

Howell, Christopher
Spokane, WA

Brasfield, James E.
State College, PA

Kim, Susan K.
Milton, NY

Brown, Stephanie C.
San Clemente, CA

Kocot, Noelle
Brooklyn, NY

Buckley, Christopher
Lompoc, CA

Latta, John A.
Ann Arbor, MI

Burket, Cheryl
San Francisco, CA

Laux, Dorianne L.
Eugene, OR

Day, Jean T.
Berkeley, CA

Linmark, Rinehardt Z.
Honolulu, HI

Duehr, Gary
Somerville, MA

McLain, Paula
Madison, WI

Duhamel, Denise L.
Woonsocket, RI

Mitchell, Roger S.
Bloomington, IN

EXHIBIT G
QUESTION 37
(16 PAGES)

Moustaki, Nicole
Ft. Lauderdale, FL

North, Charles L.
New York, NY

Rabinowitz, Anna
New York, NY

Rickel, Boyer
Tucson, AZ

Ryan, Kay
Fairfax, CA

Smith, Charlie
New York, NY

Staiger, Maggie
New York, NY

Steinberg, Hugh
San Francisco, CA

Suarez, Virgil
Tallahassee, FL

Van Winckel, Nance
Cheney, WA

Literature Fellowships – Poetry Translation, FY 2001

The 2001 Creative Writing Fellowships also support translation projects in poetry. In this category, 6 fellowships totaling \$120,000 were awarded. Each grantee received \$20,000.

Gecewicz, Donald J.

Evanston, IL

To support the translation from Italian of Giovanni Raboni's 12th book of poems, *Every Third Thought*. The collection consists of a series of nine prose poems and two series of sonnets reflecting on illness, mortality, love and Raboni's native city of Milan.

Hinton, David

East Calais, VT

To support the translation of an anthology of *shan-shui shih* (wilderness poems) from ancient China. Begun in the 5th century C.E., this genre represents the earliest and most extensive literary engagement with wilderness in human history.

Kessler, Stephen J.

Gualala, CA

To support the translation from Spanish of *Ocnos*, a book of prose poems by Luis Cernuda. This 170-page volume of poetry is a lyrical autobiography exploring the author's childhood in Seville and his exile in the United States.

Lesser, Rika E.

Brooklyn, NY

To support the translation from Swedish of Göran Sonnevi's 13th book of poems, *Mozart's Right Brain*. The 190-page title poem, composed from 1992-1996, is a meditation on life and death, history and politics, language and silence.

Metres III, Philip J.

Bloomington, IN

To support the translation from Russian of Lev Rubinshtein's selected poems, *Regular Writing*, in collaboration with Tanya Tulchinsky. This collection of avant-garde poems is arranged on separate note cards and will be presented both as a publishable manuscript and as hypertext.

Simon, John O.

Berkeley, CA

To support the translation from Spanish of selected poetry by Gonzalo Rojas, considered to be one of the most important living Chilean poets. The poems will be selected from Rojas's oeuvre of more than 20 volumes of poetry, of which little has appeared in English.

Literature Fellowships - Prose, FY 2000

The Creative Writing program operates on a two-year cycle with fellowships in prose available one year and fellowships in poetry available the next. Creative Writing Fellowships help recipients set aside time to write, conduct research, and otherwise advance their art form.

For Creative Writing Fiction and Nonfiction Prose, 35 fellowships totaling \$ 700,000 were awarded. Each grantee will receive \$20,000.

Atlee, Samuel J.
Lancaster, PA

Keane, Timothy G.
Mt. Vernon, NY

Benedict, Pinckney
Roanoke, VA

Keller, Nora O.
Waipahu, HI

Bernstein, Jane
Pittsburgh, PA

Krysl, Marilyn
Boulder, CO

Brazaitis, Mark Thomas
Washington, DC

Mannheim, Linda
Miami, FL

Brenner, Wendy
Wilmington, NC

Marcus, Ben
Providence, RI

Choi, Susan
Brooklyn, NY

Marion, Stephen Daniel
Dandridge, TN

Choyt, Charlotte M.
Lee, NH

Martin, Lee
Denton, TX

Coates, Lawrence
Cedar City, UT

Mason, Nicola Faith
Baton Rouge, LA

Dilworth, Sharon
Pittsburgh, PA

Mayo Jr., Wendell
Haskins, OH

Hagy, Alyson
Laramie, WY

Mazza, Christina L.
Elmhurst, IL

Hawkes, Gary W.
Williamsport, PA

Najarian, Peter
Berkeley, CA

Kadish, Rachel
Cambridge, MA

Palmer, Karen
Boulder, CO

Rock, Peter
Philadelphia, PA

Sellers, Heather Laurie
Holland, MI

Shand, Rosa
Spartanburg, SC

Shearer, Cynthia Sabin
Oxford, MS

Slouka, Mark
New York, NY

Stegner, Lynn M.
Santa Cruz, CA

Sullit, Beth K.
Devon, PA

Tollifson, Joan
Oakland, CA

Udall, Brady
Lancaster, PA

White, Curtis Keith
Normal, IL

Wieland, Liza
Fresno, CA

Literature Fellowships – Prose Translation, FY 2000

The 2000 Creative Writing Fellowships also support translation projects in prose. In this category, 6 fellowships totaling \$120,000 were awarded. Each grantee received \$20,000.

Boeke, Wanda Johanna

Iowa City, IA

To support the translation from Dutch of *Buitenstaanders* (Outsiders), by Renate Dorrestein.

Jones, Margaret E. W.

Lexington, KY

To support the translation from Spanish of a book-length essay, *Usos amorosos de la postguerra española* (Courtship Customs in Postwar Spain), by Carmen Martin-Gaité.

Philcox, Richard N.

New York, NY

To support the translation from French of *Desirada*, a novel by Caribbean author Maryse Conde. Winner of the Caribbean's Prix Carbet award, the novel explores the migration and memory of the Caribbean people at the end of the 20th century.

Waisman, Sergio Gabriel

San Francisco, CA

To support the translation from Spanish of Ricardo Piglia's novel, *La Ciudad Ausente* (The Absent City).

Wood, Willard L.

Norfolk, CT

To support the translation from French to English of Jean-Claude Carrière's novel *Simon Le Mage*.

Yates, Donald A.

St. Helena, CA

To support the translation from Spanish of the complete works of Argentine writer Edgar Brau. Brau's work includes two novels and 13 short stories that have not yet been translated into English.

Literature Fellowships - Poetry, FY 1999

The Creative Writing program operates on a two-year cycle with fellowships in prose available one year and fellowships in poetry available the next. Creative Writing Fellowships help recipients set aside time to write, conduct research, and otherwise advance their art form.

In this category, 32 fellowships, in Poetry totaling \$640,000 were awarded. Each grantee received \$20,000.

Arnold, Craig Anthony
Salt Lake City, UT

Boruch, Marianne J.
West Lafayette, IN

Bridgford, Kim S.
Wallingford, CT

Brock-Broido, Lucie
Cambridge, MA

Brouwer II, Joel R.
East Lansing, MI

Burleson, Derick W.
Houston, TX

Caston, Anne
Lexington Park, MD

Couto, Nancy L.
Ithaca, NY

Economou, George
Norman, OK

Falk, Maurya S.
Mt. Baldy, CA

Fisk, Mary E.
Nevada City, CA

Fox, Sarah Elizabeth
Minneapolis, MN

Garren, Christine E.
Greensboro, NC

Gernes, Sonia G.
South Bend, IN

Gibb, Robert A.
Homestead, PA

Hanson, Julie J.
Cedar Rapids, IA

Hazners, Dainis
Story, WY

Hicok, Robert
Ann Arbor, MI

Jacobs, Peter M.
Madison, WI

Johnson, Peter M.
Providence, RI

Levin, Dana
Ukiah, CA

Messer, Sarah
North Marshfield, MA

Mnookin, Wendy M.
Chestnut Hill, MA

Osherow, Jacqueline S.
Salt Lake City, UT

Ronan, John J.
Gloucester, MA

Rosser, Jill A.
Athens, OH

Seshadri, Vijay R.
Brooklyn, NY

Sewell, Lisa
Fort Worth, TX

Smith, David James
Fresno, CA

Stokesbury, Michael L.
Doraville, GA

Thorburn, Russell W.
Marquette, MI

Trethewey, Natasha
Auburn, AL

Literature Fellowships - Translation Projects in Poetry, FY 1999

The 1999 Creative Writing Fellowships also support translation projects in poetry. In this category, 8 fellowships totaling \$160,000 were awarded. Each grantee received \$20,000.

Bloch, Florence C.
Berkeley, CA

To support the translation from Hebrew of Yehuda Amichai's most recent volume of poetry, *Open Closed Open*, which was published in Israel in May 1998. In collaboration with Chana Kronfeld, Ms. Bloch will translate 300 poems and provide an introduction to the volume discussing Amichai's career, his reception in Israel and America, and the distinctive features of his poetic style.

DuVal, John T.
Fayetteville, AR

To support the translation from Old French of Adam le Bossu's 13th century verse drama, *Le Jeu de la feuille (Greenwood Follies)*. This will be the first verse translation of the play, considered to be the first comedy in French.

Janzer, Lois Baker
Portland, OR

To support the translation of fifty poems from Chinese by Fan Chengda (1126-1193), *Southern Song Dynasty*, written before 1170, when the poet advanced in his diplomatic career. The poems will be collected from a group of 200, only 45 of which have been translated previously into English.

Johnston, Bill
St. Paul, MN

To support the translation from Polish of Juliusz Sowacki's verse drama, *Balladina*, written in 1834. Considered one of the central works of Polish literature and theater, the play has not yet been translated into English.

Joris, Pierre
Albany, NY

To support the translation from German of two volumes of poetry by Paul Celan, *Lichtzwang* and *Eingedunkelt*. These two books remain the last two collections of the late poetry of Celan to be translated in English as complete books.

Kossman, Nina
Long Island City, NY

To support the translation from Russian of *The Complete Poems of Marina Tsvetaeva*, a volume of 1,082 poems written between 1908 and 1940. The first complete edition in English of Tsvetaeva's poetry, the book will include 770 lyrical poems and eight long poems which have not yet been translated into English.

Mattawa, Khaled
Chapel Hill, NC

To support the translation from Arabic of 100 poems by Iraqi poet Saadi Youssef. Spanning forty years, the poems will form the first book-length rendition of his work in English.

Venuti, Lawrence
New York, NY

To support the translation from Italian of *My Secret Diary: Selected Poetry of Antonia Pozzi*, a collection of 150 poems. This translation will provide American readers with access to the work of an important Italian feminist writer.

Literature Fellowships - Prose, FY 1998

The Creative Writing program operates on a two-year cycle with fellowships in prose available one year and fellowships in poetry available the next. Creative Writing Fellowships help recipients set aside time to write, conduct research, and otherwise advance their art form.

In this category, 32 fellowships, in Prose totaling \$640,000 were awarded. Each grantee received \$20,000.

Bloom, Steven
Heidelberg, Germany
\$20,000

Daniel, John
Elmira, OR
\$20,000

Brown, Alan
New York, NY
\$20,000

Daugherty, Tracy D.
Corvallis, OR
\$20,000

Buck, Charlie Elizabeth
Virginia City, NV
\$20,000

Davies, Peter Ho
Eugene, OR
\$20,000

Chambers, Veronica
Brooklyn, NY
\$20,000

Durban, Pam
Atlanta, GA
\$20,000

Chang, Lan Samantha
Appleton, WI
\$20,000

Evans, Elizabeth J.
Tucson, AZ
\$20,000

Cockrell, Nancy Amanda
Roanoke, VA
\$20,000

Grant, Stephanie
Brooklyn, NY
\$20,000

Cooke, Carolyn
Point Area, CA
\$20,000

Homer, Arthur T.
Omaha, NE
\$20,000

Cornell, Jennifer C.
Corvallis, OR
\$20,000

Huynh, Ngoc (Jade) Quang
Boone, NC
\$20,000

Jones, Louis B.
Nevada City, CA
\$20,000

Karison, Kathy J.
University Park, MD
\$20,000

Keesey, Anna Maria
Portland, OR
\$20,000

Levine, Miriam
Arlington, MA
\$20,000

Mathias, Anita
Williamsburg, VA
\$20,000

Matter, Holly W.
Seattle, WA
\$20,000

McPhee, Martha S.
New York, NY
\$20,000

Meier, Emily
St. Paul, MN
\$20,000

Reisman, Nancy B.
Providence, RI
\$20,000

Schultz, Robert D.
Decorah, IA
\$20,000

Treadway, Jessica
Arlington, MA
\$20,000

Tyau, Kathleen
Gaston, OR
20,000

Vassallo, Marc John
New Haven, CT
\$20,000

Walbert, Kate
Stony Creek, CT
\$20,000

Literature Fellowships - Translation Projects in Prose, FY 1998

The 1998 Creative Writing Fellowships also support translation projects in prose. In this category, 2 fellowships totaling \$40,000 were awarded. Each grantee received \$20,000.

Lammers, Wayne P.

Tigard, OR

\$20,000

To support the translation from Japanese of Shono Junzo's 1965 novel *Yube no Kumo* (Evening Clouds), which details events surrounding a post-war family's move to an undeveloped area outside of Tokyo.

Oles, Brian Thomas

Seattle, WA

\$20,000

To support the translation from Russian of Marina Palei's 1991 novella, *Cabria of the Obvodny Canal*, which details the turbulent life and death of Monka Rybnaia, a young woman from a squalid neighborhood in Leningrad.

Literature Fellowships - Poetry, FY 1997

The Creative Writing program operates on a two-year cycle with fellowships in prose available one year and fellowships in poetry available the next. Creative Writing Fellowships help recipients set aside time to write, conduct research, and otherwise advance their art form.

For Creative Writing Poetry, 37 fellowships totaling \$ 740,000 were awarded. Each grantee will receive \$20,000.

Almon, Margaret
Dunmore, PA

Asekoff, Louis S.
St. James, NY

Ashley, Renee A.
Ringwood, NJ

Baker, Catherine A.
Cambridge, MA

Barresi, Dorothy
Winnetka, CA

Berger, Linda-Ruth
Contoocook, NH

Brendan-Brown, Sean
Hattiesburg, MS

Blespiel, David
Portland, OR

Borges, Millicent C.
Long Beach, CA

Carbo, Nick
San Antonio, TX

Christie, Ann V.
Baltimore, MD

Coffman, Lisa
Morrisville, PA

Davenport, Cathy Song
Honolulu, HI

DeNicola, Deborah A.
Brookline, MA

Fogel, Alice B.
Washington, NH

Glazer, Michelle
Portland, OR

Gomez, Jewelle L.
San Francisco, CA

Gustavson, Jeffrey
Brooklyn, NY

Hall, Judith
Hollywood-By-The-Sea, CA

Halme, Kathleen S.
Wilmington, NC

Harris, James W.
Alameda, CA

Keckler, William Bernard
Harrisburg, PA

Kleinschmidt, Edward
San Francisco, CA

Levine, Mark A.
Missoula, MT

Martinez, Dionisio D.
Tampa, FL

McCorkle, James
Geneva, NY

Newman, Leslea
Northampton, MA

Prospere, Susan Frances
Houston, TX

Rabbitt, Thomas
Tuscaloosa, AL

Ross, Joseph J.
Washington, DC

Rossiter, Charles M.
Delmar, NY

Samaras, Nicholas
New Port Richey, FL

Schwartz, Leonard
New York, NY

Snow, Carol A.
San Francisco, CA

Terranova, Elaine G.
Philadelphia, PA

Wallace, Naomi French
Iowa City, IA

Zarin, Cynthia
New York, NY

Literature Fellowships – Poetry Translation, FY 1997

The 1997 Creative Writing Fellowships also support translation projects in poetry. In this category, 3 fellowships totaling \$60,000 were awarded. Each grantee received \$20,000.

Alcalay, Ammiel

Brooklyn, NY

To support the translation of an anthology of contemporary Bosnian poetry.

Keller, Tsipi Edith

New York, NY

To support the translation of one hundred poems by four contemporary Israeli female writers.

Lowitz, Leza

Oakland, CA

To support the translation of Ayukawa Nobuo's *Selected Poems 1936-1984*.

38. When you provide funds to support literature, film or art, do you include a provision such that the NEA can recapture a share of the profits if the enterprise proves to be commercially successful?

ANSWER 38: The Endowment would welcome the authority to require a rebate of significant program income as an augmentation of appropriated funds. However, we would strongly prefer that authority to be discretionary rather than mandatory, to be used in instances of a project whose program income is significantly beyond expenses. We should also note that the administrative burden of tracking and collecting rebates could be a major expense.

Our statute requires that all of our grantees be non-profit organizations. Any program income must be used for the organization's public purposes. In a time when private donations to the arts are declining relative to other recipients of charitable gifts, arts organizations depend very heavily on program income from successful projects to keep their doors open. In fact, program income – admission fees, royalties, even the sales from a museum shop or tee-shirt stand – is an important part of the “match” that the Endowment requires for every organizational grant. Under the governing OMB regulations (A-110), program income earned during the project period is retained by the recipient and must be used to finance the non-federal share of the project or to further project or program objectives.

Partnerships

39. What do you see as the appropriate level of funding to the states?

ANSWER 39: The current level of funding to state arts agencies is appropriate and effective in assuring that all states share in the benefits of federal arts support, in helping to maintain a stable network of state arts agencies, and in providing incentive for state governments to continue a meaningful commitment to the arts.

The states' portion of the additional funding requested for Challenge America is appropriate and valuable in helping them to work with the Endowment to address the Challenge America priorities. However, any increase in the overall percentage of funds designated for state arts agencies would bring substantial disadvantages, as described in detail in the answer to question #24.

40. If additional funding were provided to the states, how would it affect your ongoing programs?

ANSWER 40: If additional funding to the states came at the expense of support for other ongoing programs, it would have a negative impact on those programs and on the arts. Any reduction in funding available for direct grants to arts groups would further diminish the agency's capacity to fill the essential federal roles described in our response to question #24.

Administration of NEA

41. Please explain your efforts to get your message out on the Internet's World Wide Web. How much does this cost? Do you realize printing and mailing cost savings by making your materials available electronically?

ANSWER 41: The Endowment is utilizing the Internet to broaden public access and serve the arts and the public more effectively. In April 1996, the Endowment launched its World Wide Web (WWW) site. The website, located at <http://www.arts.gov> (new URL), featured general information about the Endowment, press releases and other updates concerning the Endowment, links to other relevant websites, feature articles, reports, access to grant application guidelines, and information on Endowment programs. In response to enhancement suggestions, the agency launched a redesigned site in September 1998. In addition to the previous features, the redesigned site includes: grant applications which can be completed on-screen, printed out and mailed; significantly expanded information on funding, technical assistance, and other resources; a database of Federal funding at the federal, regional, state and local levels available to arts organizations; and a comprehensive compendium of planning advice from a variety of professional arts consultants. The Endowment's website activity can be measured two ways: approximately 50,000 hits per day and/or approximately 3,500 user sessions per day. To date, we have had over 50 million hits.

The introduction of the Endowment's website thus far has not resulted in appreciable printing and mailing cost savings. Most organizations currently order Endowment publications and reports through the Internet rather than downloading and printing the information themselves. The agency anticipates modest printing and mailing cost savings in the application guidelines area as more people begin to complete the information on-screen.

The website is administered by two staff members (GS-12 and GS-9 grade level) who are assisted by other agency staff on a project basis. In order to save money and to have more flexibility in site development, the agency began hosting the website on an in-house server in April 2000. Prior to this time site hosting was contracted out at roughly \$12,000 per year. The in-house server software was donated by Microsoft.

42. How have the legislative restrictions that have been placed on NEA's grant-making process over the past ten years affected your staffing needs?

ANSWER 42: Certain of these restrictions have had a significant impact on agency staffing demands during the past ten years. The specific restrictions concern the requirement for project support, the requirement that no more than 15% of program funds can be disbursed to any state, the priority for education and underserved areas, the requirement for laypeople on each panel, and the reduction in the membership of the National Council on the Arts. Each of these has had a significant impact on staffing. For example:

- *Project support* – this restriction has resulted in a requirement for more information from applicants. As a result, staff and panels spend more time reviewing these applications.
- *State limitation* – this restriction requires additional monitoring on the part of staff and reports established and reviewed continuously.
- *Underserved and education priority* – this restriction requires additional monitoring on the part of staff. Also, this requirement has resulted in additional efforts to broaden the geographic representation on panels. And, this restriction has resulted in the establishment of responsive programs and considerable travel and consultation by staff with organizational representatives in underserved areas.
- *Laypeople* – this restriction requires additional efforts on the part of staff to locate individuals who meet the definition of layperson.
- *Council membership* – this restriction requires additional efforts by staff to keep the Council informed. The smaller membership (which results in limited artistic field representation) requires more continuous and extended education.

As a group, we believe that these restrictions contribute greatly to the increased workload of the agency. Please note that in responding to this question, we are not addressing the policy or programmatic benefits or impact of these changes; rather, we are simply responding to the workload implications.

43. We have previously commented on your unusually large number of senior executives. Can you prepare a plan to reduce the size of this highly paid workforce? Similarly, an extremely high percentage of your workforce is at the GS 14 and GS 15 levels. Please explain why nearly half of your professional workforce is so highly graded?

ANSWER 43: As stated in the past, we believe that we have the proper mix of positions necessary and appropriate for managing the myriad

activities of the Arts Endowment. We also believe that our staffing relationships fare favorably when compared with other federal agencies. An examination of the ratio of the Endowment's senior executives with that of other independent agencies in no way suggests that our ratios are inappropriate:

Merit Systems Protection Board	1 to 16
National Science Foundation	1 to 13
National Labor Relations Board	1 to 36
Nuclear Regulatory Commission	1 to 20
Office of Special Counsel	1 to 20
Securities and Exchange Commission	1 to 44
National Endowment for the Arts	1 to 25

[Source of Data: OPM Federal Civilian Workforce Statistics, Table 2 Comparison of Total Civilian Employment of the Federal Government, September 2000 and OPM's Office of Executive Resources.]

In response to this question in the past, we noted that many of the agency's younger and less senior employees were laid off when the budget was cut in FY 96. And, we indicated that in consideration of Congress' desire for increased agency accountability and additional layers of grantee monitoring, it was essential for the agency to preserve leadership staff positions during that critical time. However, most important, we need to point out that it is imperative that the Arts Endowment maintain the level of expertise necessary to manage its operations. Federal agencies like the Arts Endowment typically require individuals with national expertise in some subject in order to carry out its business. In the Federal Trade Commission, these individuals might be attorneys. In the National Science Foundation, these individuals might be scientists. In the Arts Endowment, these individuals are experts in the arts. We believe that we have the appropriate mix of positions essential to ensuring accountability and properly managing the activities of the Arts Endowment. An examination of the percentage of the Endowment's GS 14 and 15 positions with that of other independent agencies in no way suggests that our percentages are inappropriate:

Consumer Product Safety Commission	28%
Environmental Protection Agency	27%
Federal Trade Commission	46%
Federal Emergency Management Agency	18%
Merit Systems Protection Board	65%
National Foundation on the Arts And Humanities	24%
National Labor Relations Board	40%
National Science Foundation	23%

Office of Management and Budget 46%

[Source of Data: OPM Federal Civilian Workforce Statistics, Table 3 Grade Distribution of Full-Time General Schedule Employment by Agency as of March 31, 2000.]

44. We understand that the NEA had to absorb fixed cost increases during FY 2000. What were the fixed cost increases during FY 2000 and how did you absorb them?

ANSWER 44: The total increase in Salaries and Expenses between FY 1999 and FY 2000 was \$1,045,000. However, the amount of attributable uncontrollable fixed cost increases from 1999 and 2000 exceeded this amount by \$157,000 for a total of \$1,202,000. These uncontrollable fixed costs included pay raises, GSA rent, and contractual services – the majority of the fixed cost increase was for Personnel Compensation. The remainder of the increase is also related to Personnel Compensation to fill vacancies resulting from the departure of many key staff during the period we were without a chairman during FY 1998 and due to normal attrition during FY 1999. We ended FY 1999 at an FTE of 149, which was 11 FTE below the planned level of 160 FTE.

During FY 2000, we were able to absorb the increase in uncontrollable costs by using funds carried over from FY 1999 and through savings in personnel compensation. We ended FY 2000 with an overall staffing level 156 FTE (152 staff, 3 Stay-in-School employees and 1 privately funded FTE assigned to the President's Committee on the Arts and the Humanities); this was below the planned level of 160 FTE.

45. If we were to reduce your administrative funding by 15%, what would be the impact on your ability to award grants and service your core responsibilities?

ANSWER 45: If the FY 2002 appropriation for Salaries and Expenses were reduced by 15% from the level of our FY 2001 Salaries and Expenses, it would have a devastating impact on our ability to award grants and service our core responsibilities. As stated in our FY 2002 Congressional Budget Justification, the proposed Salaries and Expenses Budget would only support 145 FTE, but we estimated a need of 150 FTE to maintain grantmaking activities and to meet our mandates as a Federal Agency. A reduction of 15 percent in Administrative funding would have to be applied primarily to the largest account, Personnel Compensation, which would result in the Endowment having to reduce staffing to about 121 FTE. The balance of the reduction would be applied to other areas such as staff travel and contractual services thereby limiting our ability to maintain a presence in rural and other underserved areas of the country.

A reduction in staffing of this magnitude would likely cause the Endowment to undertake a Reduction-in-Force. At this level, the agency would be unable to implement the outreach aspects of Challenge America and would have to curtail a number of our current grant programs. Our capacity to provide staff technical assistance and outreach to applicants in making direct grants (particularly in under-served areas) would be severely diminished. Certainly, there would be an immediate reduction in the number of congressional districts served by direct grants since the effort to increase the number of districts served has been staff labor intensive. Our internal efforts to improve the resources for staff, including training and technology, would be greatly reduced. No benefit to those we serve would accrue from such a reduction.

46. You have received a relatively flat budget for six years. What has been the impact on your operations?

ANSWER 46: The impact of having a flat budget for six years has been significant in both our programmatic and administrative areas. When the reduction of FY 1996 was imposed, we had to curtail grantmaking activities in several categories, especially those dealing with grants to individual artists. We were forced to return numerous applications and to reduce the number of grants awarded. The reduction also forced us to restructure our grantmaking programs, reducing from 17 discipline-based programs with 105 funding categories to six over-arching funding areas; additionally, we were forced to run a Reduction In Force to cut staffing down to about 150 FTE.

In terms of grant making, we had to impose limits on the amount organizations could apply for and to spread our grant funds more thinly in an effort to reach as many areas of the country as possible. Our funding could not meet the demand resulting from so many excellent projects proposed by applicants; to try to fund as many excellent projects as possible and to achieve the broadest geographical coverage of our projects, we were forced to make smaller grants to gain some increase in the number of projects funded. The effect of these actions is that our average grant size has dropped from about \$55,000 in FY 1995 to about \$24,500 today. Endowment grants have a multiplier effect in leveraging money from non-government sources and they have economic benefit to communities; all of this is diminished with reduced funding. Moreover, with a flat budget, the buying power of our grants is continually decreasing since we cannot increase grant amounts to keep up with even minimal inflation.

On the administrative side, we have not been able to fully staff our programs and administrative offices. It is a struggle to maintain a presence in the field when travel funds are limited; we try to send

Endowment representatives to rural and other underserved areas to conduct workshops and provide technical assistance; travel to off-line areas is much more costly so fewer trips can be made. In meeting the administrative requirements incumbent upon all independent Federal Agencies, we must constantly upgrade our computer systems and train staff to deal with new reporting and operational requirements. In the program areas, we find that our staff is stretched to the maximum to process grant applications, conduct application review panels, and to process and monitor grant awards. With staff struggling to keep abreast of ongoing work, it is difficult to develop new program initiatives and to maintain a leadership role in the arts fields. New initiatives require significant staff time and we simply cannot continue to absorb the increased workload associated with new programs or initiatives. For example, the Challenge America grants do not include any administrative support, it is provided by existing staff.

47. How much does the National Council on the Arts Cost? Do they receive a salary?

ANSWER 47: The annual cost of the National Council on the Arts is projected at \$37,300 for FY 2001, and consists of \$32,300 for travel expenses to attend meetings in Washington, and \$5,000 for compensation. Council Members do not receive a salary, but are paid \$135 per meeting day in accordance with an administratively determined rate set by the Endowment's most recent authorizing legislation. The Council meets for two days, three times each year.

48. We understand that it is likely that the NEA will be asked to move out of their current office space. How much of your funding increase requested in FY 2001 is specifically for move-related purposes?

ANSWER 48: Based upon the latest information we have from GSA, we would not be forced to move before FY 2003, therefore, we did not include any funds in our FY 2002 Budget Request to cover costs associated with moving out of the Old Post Office during FY 2002. Our request for GSA Rent, \$2,321,000, is based upon staying in the Old Post Office throughout FY 2002; this situation is more fully explained in the response to Question 49, below.

It should be noted that if GSA does decide to relocate the Arts Endowment during FY 2002, we would need to request additional funding for items not covered by GSA. Since this is a "directed move," GSA is supposed to pay for relocation costs that normally include build-out of space, construction of suitable rooms for panel meetings and National Council meetings, and Local Area Network wiring. However, based upon our experience with the move to this present location, the GSA moving allowance probably will not

be adequate and according to GSA, we could be faced with additional moving costs as high as \$1.5 million, whether in FY2002 or FY 2003.

49. What is the latest communication from the GSA concerning the possibility that you may have to move your office?

ANSWER 49: As the Committee is aware, the General Services Administration directed that the Arts Endowment relocate from the Old Post Office Building (OPOB). The GSA advised, however, that prior to this relocation, two important steps needed to occur. The first was the submittal and approval by Congress of a plan for redeveloping the OPOB. We are informed that this plan was submitted to the Congress late in calendar year 2000.

The second concerns submission of a prospectus to Congress that includes information about the timing and costs associated with the move. We are informed that GSA intends to submit the prospectus shortly following Congressional approval of the redevelopment plan. GSA's current thinking, as we understand it, is for relocation to likely occur within two years following approval of the redevelopment plan. Based on this timing, GSA advised the Arts Endowment that the move would occur no earlier than FY 2003. Given the actual space needs, the adjustments made by GSA to accommodate fire egress and circulation space requirements and the continued increase in rental costs, the Arts Endowment anticipates a sizable increase in its rent and related costs in FY 2003 or the year of relocation. Further, as the Committee was previously advised, GSA is not likely to fully cover all move/relocation costs. Thus, the Arts Endowment anticipates including these costs in its budget submission as well.

50. What financial controls and oversight do you have in place?

ANSWER 50: We currently comply with the standard accounting practices and principles including those of the Joint Financial Management Improvement Program (JFMIP), Treasury, OMB, and GAO; the Federal Managers' Financial Integrity Act (FMFIA), etc. – which is consistent with the CFO Act's requirements. Approximately eight years ago, we designated our Finance Director as our CFO. As such, NEA implements all requirements that can be cost-effectively carried out within the resources provided. For example, it should be noted that Section 31001(y) of the Debt Collection Improvement Act of 1996 (DCIA), codified at 31 U.S.C. 3325(d), requires executive agencies to include the taxpayer identifying number (TIN) of payees on certified payment vouchers which are submitted to Federal disbursing officials. A Treasury Policy Statement requires executive agencies to submit a TIN Implementation Report to the Financial Management Service (FMS) documenting agency compliance

with this DCIA requirement. As required, the NEA submitted its report acknowledging full compliance with this DCIA requirement.

We also accommodate the following controls and oversights:

- Established a system of internal controls within the automated process of the agency, as well as in the daily operational aspects of staff work.
- Established automated audit trails throughout the FMIS.
- Established separation of duties in obligation, disbursement and audit operations.
- Conducts ongoing review of all FMIS operations and sub-systems to ensure overall integrity and improve efficiency.
- Established unannounced audits with IG Office regarding Imprest Fund operations.
- Established agency-wide procedures for handling donations to the agency to ensure timely deposits and full accountability.
- Appointed a Security Officer and back up for EFT operations.
- Appointed a FMIS Security Officer and File administrator with back up.
- Established a "senior finance staff review" process for internal and external reporting.

Questions Submitted by Mr. Dicks

1. One of the points which we tried to make in last year's debate is that the public broadly supports arts funding through actions in their local communities. Could you talk for a few minutes about public support for the arts at the State and local level and how this has changed in recent years?

ANSWER 1. State governments currently appropriate an aggregate of \$447 million to their state agencies. While all states support state arts agencies, support varies widely from state to state. Funding ranges from \$5.30 per capita in Hawaii to \$0.26 in Texas. Six of the smallest arts agencies still receive more funding from the Arts Endowment than through their state appropriations, and 17 still rely on the agency for more than 25 percent or more of their funding.

There are reported to be approximately 4,000 organizations representing the field of local arts agencies. The majority (75%) are private, nonprofit agencies, while approximately 1,000 represent public agencies of either city or county government. Understandably, these agencies vary in structure, services and size. Many operate with volunteer leadership and others, especially those in cities with larger populations, operate with the benefit of professional, paid staff. Of the total field of local arts agencies, 69% manage one or more cultural facilities. Nearly all (96%) collaborate with other local governmental departments (economic development, parks, and recreation, law enforcement) and civic organizations (chambers of commerce, convention and visitor bureaus, housing authorities) to sustain and increase community livability. Especially for communities facing shifts in population or industry, these services serve to facilitate the responsible operation of the various cultural entities, as well as promote greater community cohesion through participation in the arts.

2. On a per capita basis, how much public funding does this country provide in support of the arts compared to other Western countries?

ANSWER 2. Based on a study conducted by the Arts Council of England, and summarized in NEA Research Division Note #74, the U.S. per capita direct government arts spending was the lowest of all the OECD (Organization for Economic Cooperation and Development) countries analyzed. Using base years of 1993-1996, the OECD countries reported the following direct outlays for the arts: United States, \$6; Australia, \$25; Canada, \$46; Finland, \$91; France, \$57; Germany, \$85; Ireland, \$9; Netherlands, \$46; Sweden, \$57; and the United Kingdom, \$26. The \$6 U.S. direct government spending on the arts includes federal, state, and local outlays on art and culture. Federal spending includes not only funding for the NEA, but also funding for the Smithsonian Institution, the

Kennedy Center for the Performing Arts, the National Gallery of Art, the Institute of Museum and Library Services, and the Commission of Fine Arts. In addition, the study analyzed direct government spending on the arts. It did not include indirect government support for the arts through foregone taxes.

3. The breakthrough in arts funding last year came when Chairman Regula proposed a separate appropriation structure for the new Challenge America program. This program puts federal arts funding into States and communities which have not typically participated in the NEA programs. If additional funds can be found, would the Challenge America program be your first priority for the NEA?

ANSWER 3. Yes, NEA would invest any additional funds in Challenge America. The Endowment remains fully committed to its ongoing efforts to increase outreach which is at the heart of the Challenge America program.

4. On page 6 of your written statement, you talk about what you describe as "an area of concern". According to this statement the small percentage of grants which you are able to fund and the small size of grants is creating serious stress in the system. Could you elaborate on both of these issues?

ANSWER 4: Over the past several years, the Endowment has made great strides in reaching beyond major metropolitan areas in its grantmaking. We have responded to requests to provide technical assistance and grants workshops in areas not traditionally reached by direct grants. With programs such as ArtsREACH and Creative Links, which have now become components of Chairman Ivey's Challenge America initiative, the agency has articulated its commitment to reaching underserved populations in both rural and inner city areas.

The two priorities of Challenge America – community arts development and positive alternatives for youth – respond to the needs of families and communities in every corner of the nation, as demonstrated by the 537 applications, requesting a total of \$4.75 million, received for the first Challenge America deadline in February. The Endowment will be able to support 195 of these applications, for a total of \$1.73 million. This represents a funding ratio of approximately 36 percent of both the applications and the request levels.

A similar situation exists within the Grants to Organizations (GTO) funding category. Over the past three years, across the five GTO goals – Access, Creativity, Education, Heritage/Preservation, and Organizational Capacity – the average grant amount has declined from approximately \$28,200 in

FY 1999 to \$23,100 in FY 2000, to \$22,250 in FY 2001. While we have maintained a funding ratio of approximately 56% of GTO applicants, the level of funding hovers at about 23% of the aggregate request level. This results from an increase in qualified applicants along with a corresponding decrease in available dollars to this core program as the agency attempts to address other, equally pressing priorities. Given the level of need in the field, and the continued significance of the NEA imprimatur, we have decided to fund more organizations at smaller amounts.

As I noted in my written statement, we have taken the unprecedented step of placing advisory language in the Grants to Organizations guidelines urging "all applicants to consider the level of recent awards and to request a reasonable grant amount." Our language further states that "in the past few years, well over half of the agency's grants have been for amounts less than \$25,000."

Literature Fellowships, the Endowment's only funding area that accepts applications from individual artists – as opposed to the nomination process required for Jazz Masters and National Heritage Fellows – has seen steady increases in its applicant pool. In factoring both the volume of applications and the scarcity of available funds, the agency has resorted to funding poetry and prose in alternate years.

In March of 2000, we received approximately 1,200 applications for poetry (and poetry translations), for which 40 FY 2001 grants were awarded. In March of 2001, we received approximately 1,200 applications for Fiction and Creative Nonfiction (and prose translations) – an increase of approximately 33 percent – for which 40 FY 2002 grants will be awarded. This represents a funding ratio of approximately three percent.

On the issue of grant size, it should be noted that the amount of the Literature Fellowship award has been held at \$20,000 since 1985. If the grant were adjusted to keep pace with inflation, it would be considerably larger now. Among staff, panelists, and National Council members, however, there is a strong consensus that, as long as the fellowship allocation remains flat, it is more important to maintain the number of awards than to award larger grants to fewer artists.

5. Last year you included in the record a short summary of how NEA has responded to criticisms which led to the cuts in NEA funding in 1995. These criticisms included funding of controversial art, not distributing funds in an even-handed manner around the country and cultural elitism. I would like you to update your response for the record.

ANSWER 5. The reforms enumerated in last year's summary restored integrity to the NEA grant review and monitoring process, and the agency has not experienced problems with controversial grants for several years. Those reforms addressed long-standing operating practices and weaknesses in the process that needed to be resolved. The agency has had a very good record over the past few years, and accordingly, we have not identified a need for further process reforms.

Regarding the issue of grant distribution, the agency is continuing to make outreach its number one priority. Last year, NEA staff held 13 grant workshops and will hold 32 more this year to give potential applicants and partners hands-on training and information about NEA programs and opportunities. The \$7 million increase provided in FY01 is devoted entirely to the Challenge America program, which is focused largely on outreach. The ArtsREACH project, which for three years, was focused on the 20 most underserved states, has been folded into Challenge America and expanded to include underserved areas of all 50 states. The idea is to generate and fund worthy applications from organizations in places that have not applied before. As a result of these efforts and others previously described to the subcommittee, the Endowment today is reaching more people and more places than ever before.

6. I know you have some experience with controversial projects but I wonder if picking the top 365 songs of the 20th Century may be your most controversial project so far. We understand this "Songs of the Century" program is funded entirely or almost entirely by private funds. Could you tell us how this project is organized and when the list and related programs will be released?

ANSWER 6. "Songs of the Century" is a model public-private partnership between the National Endowment for the Arts and the Recording Industry Association of America, which represents the major record companies. The partnership is part of an overall effort to interest private companies in making their intellectual property holdings more accessible to the American people. While these songs are part of our popular heritage as Americans, it is important to remember that each song is owned and controlled by someone, often a company. Increasingly, these companies have foreign ownership, and not much interest in making their corporate assets (read our cultural heritage) more accessible to Americans. It is very difficult for the average person to negotiate copyright clearance with a corporation for any purpose, much less clearing hundreds of copyrights with multiple owners for the purpose of creating an anthology.

As the Chairman indicated during the hearing, the "Songs of the Century" project will essentially create an anthology for students in school. Through Internet streamed audio and a special CD, schools will receive one song a

day. Scholastic, Inc. will develop curriculum materials designed to connect the songs with other curriculum subjects including literature, history and science. The objective is to provide more than just the music, but to further their contextual understanding of their own musical heritage, and to tie it into their daily studies.

The project is being conducted to two phases, the contest and the delivery. The contest phase, which is now completed, included development and circulation of the ballot; and receipt, tabulation and announcement of the results. The winning 365 songs, representing a song a day, and approximately 35 from each decade were announced at a March 7, 2001 event at the Library of Congress. A number of members of Congress attended the event.

Our primary objective of making the music available to students is accomplished in the second or delivery phase, which is underway at this time. Our partners, AOL and Scholastic are currently preparing the audio, CD and curriculum materials with the intention of beginning the delivery to classrooms in September 2001.

The list of songs for the committee's information is attached as Exhibit H.

THE 365 SONGS OF THE CENTURY
PRESENTED BY

THE NATIONAL ENDOWMENT FOR THE ARTS
AND
THE RECORDING INDUSTRY ASSOCIATION OF AMERICA

The list is organized by decade and alphabetically by performer(s). The * indicates the song that received the most votes for that decade.

DAWN OF A CENTURY (1890-1920)

The American Quartet	"Over There"	Victor	1917
Enrico Caruso	"Vesti La Giubba"	Victor	1907
Geraldine Farrar	"My Old Kentucky Home"	Victor	1910
The Fisk Jubilee Singers	"Swing Low Sweet Chariot"	Victor	1909
Louise Homer	"America the Beautiful"	Victor	1925
Scott Joplin	"The Entertainer"	piano roll	1902
John McCormick	"The Star Spangled Banner"	Victor	1917
"Billy Murray	"Take Me Out to the Ballgame"	Victor	1908
Chauncey Olcott	"When Irish Eyes Are Smiling"	Columbia	1913
Original Dixieland Jazz Band	"Tiger Rag"	Victor	1918
Vess Ossman	"Yankee Doodle"	N.American	1894
The Peerless Quartet	"Let Me Call You Sweetheart"	Columbia	1911
Sousa's Band	"The Stars and Stripes Forever"	Columbia	1896
Frank Stanley	"Auld Lang Syne"	Columbia	1907
Sophie Tucker	"Some of These Days"	Columbia	1911

EXHIBIT H - QUESTION 6 FROM CONGRESSMAN DICKS

THE 365 SONGS OF THE CENTURY

THE JAZZ AGE (1920-1930)

*Louis Armstrong	"When the Saints Go Marching In"	Decca	1938
Gene Austin	"Bye Bye Blackbird"	Victor	1926
Ben Bernie Orchestra	"Sweet Georgia Brown"	Vocalion	1925
Eddie Cantor	"Makin' Whoopee"	Victor	1929
Hoagy Carmichael	"Star Dust"	Gennett	1928
The Carter Family	"Can the Circle Be Unbroken"	ARC	1935
Vernon Dalhart	"The Prisoner's Song"	Victor	1924
Arthur Gibbs & Gang	"Charleston"	Victor	1924
W.C. Handy	"St. Louis Blues"	Okeh	1923
Al Jolson	"Swanee"	Columbia	1920
Billy Jones	"Yes We Have No Bananas"	Edison	1923
Isham Jones Orchestra	"It Had to Be You"	Brunswick	1924
HeLEN Kane	"I Wanna Be Loved By You"	Victor	1928
Jelly Roll Morton	"King Porter Stomp"	Gennett	1923
Jimmie Rodgers	"Blue Yodel (T for Texas)"	Victor	1930
Ben Selvin Orchestra	"Happy Days Are Here Again"	Columbia	1930
Bessie Smith	"Down Hearted Blues"	Columbia	1923
Whisperin' Jack Smith	"Me and My Shadow"	Victor	1927
Fats Waller	"Ain't Misbehavin'"	Victor	1929
Paul Whiteman Orchestra	"Whispering"	Victor	1920

THE 365 SONGS OF THE CENTURY

THE GREAT DEPRESSION (1930-1940)

Roy Acuff	"Wabash Cannonball"	Vocalion	1938
Marian Anderson	"Ave Maria"	Victor	1937
Fred Astaire	"Night and Day"	Victor	1932
Gene Autry	"Back in the Saddle Again"	Vocalion	1938
Count Basie	"One O'Clock Jump"	Decca	1937
Sidney Bechet	"Summertime"	Blue Note	1939
The Boswell Sisters	"Alexander's Ragtime Band"	Brunswick	1935
Cab Calloway	"Minnie the Moocher"	Brunswick	1931
Bing Crosby	"Pennies From Heaven"	Decca	1936
Jimmie Davis	"You Are My Sunshine"	Decca	1940
*Judy Garland	"Over the Rainbow"	Decca	1939
Benny Goodman	"Sing Sing Sing"	Victor	1938
Bob Hope/Shirley Ross	"Thanks for the Memory"	Decca	1939
Robert Johnson	"Cross Road Blues"	Columbia	1936
Colt Porter	"You're the Top"	Victor	1935
Harry Richman	"Puttin' on the Ritz"	Brunswick	1930
Kate Smith	"God Bless America"	Victor	1939
Sons of the Pioneers	"Tumbling Tumbleweeds"	Decca	1934
Art Tatum	"Tea for Two"	Decca	1939
Shirley Temple	"On the Good Ship Lollipop"	20th Cent.Fox	1934
Rudy Vallee	"Brother Can You Spare a Dime"	Brunswick	1932
cast recording	Show Boat	Brunswick	1932
cast recording	Porgy and Bess	Decca	1935

THE 365 SONGS OF THE CENTURY

THE SWING ERA / THE WAR YEARS (1940-1950)

The Andrews Sisters	"Boogie Woogie Bugle Boy"	Decca	1941
Eddy Arnold	"Cattle Call"	Bluebird	1945
Gene Autry	"Rudolph the Red Nosed Reindeer"	Columbia	1949
Les Brown	"Sentimental Journey"	Columbia	1945
The Chuck Wagon Gang	"I'll Fly Away"	Columbia	1948
Francis Craig Orchestra	"Near You"	Bullet	1947
Bing Crosby	"White Christmas"	Decca	1942
Cliff Edwards	"When You Wish Upon a Star"	Victor	1940
Duke Ellington	"Take the A Train"	Victor	1941
The Fairfield Four	"Don't Let Nobody Turn You Around"	Bullet	1947
Ella Fitzgerald	"A Tisket A Tasket"	Decca	1938
Dizzy Gillespie	"Salt Peanuts"	Guild	1945
Woody Guthrie	"This Land Is Your Land"	Asch	1947
Coleman Hawkins	"Body and Soul"	Bluebird	1940
Billie Holiday	"God Bless the Child"	Okeh	1941
Billie Holiday	"Strange Fruit"	Commodore	1939
John Lee Hooker	"Boogie Chillun"	Modern	1948
Lena Horne	"Stormy Weather"	Victor	1943
The Ink Spots	"If I Didn't Care"	Decca	1939
Mahalia Jackson	"Move on Up a Little Higher"	Apollo	1948
Leadbelly	"Goodnight Irene"	Capitol	1944
Roy Rogers/Dale Evans	"Happy Trails"	RCA Victor	1951
Johnny Mercer	"Zip-a-Dee-Doo-Dah"	Capitol	1946
Glenn Miller	"In the Mood"	Bluebird	1939
The Mills Brothers	"Paper Doll"	Decca	1943
Thelonious Monk	"Around Midnight"	Blue Note	1948
Bill Monroe	"Blue Moon of Kentucky"	Columbia	1945
Vaughn Monroe	"(Ghost) Riders in the Sky"	RCA Victor	1949
Charlie Parker Sextet	"Ornithology"	Dial	1946
Alvino Ray	"Deep in the Heart of Texas"	Bluebird	1942
Artie Shaw	"Begin the Beguine"	Bluebird	1938
Bob Wills	"New San Antonio Rose"	Okeh	1940
cast recording	Oklahoma!	Decca	1943
cast recording	South Pacific	Columbia	1949

THE 365 SONGS OF THE CENTURY

AMERICAN BANDSTAND (1950-1960)

Harry Belafonte	"Banana Boat (Day-O)"	RCA Victor	1957
Chuck Berry	"Johnny B. Goode"	Chess	1958
Bo Diddley	"Bo Diddley"	Checker	1955
Dave Brubeck	"Take Five"	Columbia	1959
Johnny Cash	"I Walk the Line"	Sun	1956
The Champs	"Tequila"	Challenge	1958
Ray Charles	"What'd I Say"	Atlantic	1959
Ray Charles	"Georgia on My Mind"	ABC Paramnt	1960
The Chordettes	"Mr. Sandman"	Cadence	1954
The Coasters	"Yakety Yak"	Atco	1958
Eddie Cochran	"Summertime Blues"	Liberty	1958
Nat King Cole	"Mona Lisa"	Capitol	1950
Sam Cooke	"You Send Me"	Keen	1957
Danny & The Juniors	"At the Hop"	ABC Paramnt	1957
Bobby Darin	"Mack the Knife"	Atco	1959
Miles Davis	"Kind of Blue"	Columbia	1959
Doris Day	"Que Sera Sera"	Columbia	1956
Mark Dinning	"Teen Angel"	MGM	1960
Fats Domino	"Blueberry Hill"	Imperial	1956
The Everly Brothers	"Wake Up Little Susie"	Cadence	1957
The Five Satins	"In the Still of the Night"	Ember	1956
The Flamingos	"I Only Have Eyes for You"	End	1959
Tennessee Ernie Ford	"Sixteen Tons"	Capitol	1955
Connie Francis	"Who's Sorry Now"	MGM	1958
Erroll Garner Trio	"Misty"	Mercury	1954
"Bill Haley & His Comets	"Rock Around the Clock"	Decca	1955
Wilbert Harrison	"Kansas City"	Fury	1959
Al Hibbler	"Unchained Melody"	Decca	1955
Buddy Holly	"Peggy Sue"	Coral	1957
Johnny Horton	"The Battle of New Orleans"	Columbia	1959
The Isley Brothers	"Shout"	RCA	1959
The Kingston Trio	"Tom Dooley"	Capitol	1958
Jerry Lee Lewis	"Great Balls of Fire"	Sun	1957
Little Richard	"Tutti Frutti"	Specialty	1956
Frankie Lymon & Teenagers	"Why Do Fools Fall in Love"	Gee	1956
Johnny Mathis	"Chances Are"	Columbia	1957
The Modern Jazz Quartet	"Django"	Prestige	1954
Patti Page	"The Tennessee Waltz"	Mercury	1950
Les Paul & Mary Ford	"How High the Moon"	Capitol	1951
The Penguins	"Earth Angel"	Dootone	1954
Carl Perkins	"Blue Suede Shoes"	Sun	1956

THE 365 SONGS OF THE CENTURY

AMERICAN BANDSTAND (1950-1960) cont.

The Platters	"Smoke Gets in Your Eyes"	Mercury	1958
Elvis Presley	"Heartbreak Hotel"	RCA Victor	1956
Elvis Presley	"Hound Dog"/ "Don't Be Cruel"	RCA Victor	1956
Louis Prima & Keely Smith	"That Old Black Magic"	Capitol	1958
George Beverly Shea	"How Great Thou Art"	RCA	1955
Joe Turner	"Shake Rattle and Roll"	Atlantic	1954
Ritchie Valens	"Donna"/ "La Bamba"	Del-Fi	1958
Muddy Waters	"Got My Mojo Workin'"	Chess	1966
The Weavers	"On Top of Old Smoky"	Decca	1951
Hank Williams	"I'm So Lonesome I Could Cry"	MGM	1949
Hank Williams	"Your Cheatin' Heart"	MGM	1953
Mary Lou Williams	"Zodiac Suite"	Jazztone	1955
cast recording	The King and I	Decca	1951
cast recording	My Fair Lady	Columbia	1956
cast recording	West Side Story	Columbia	1957
cast recording	The Music Man	Capitol	1958

THE 365 SONGS OF THE CENTURY

THE 'SIXTIES (1960-1970)

The Animals	"House of the Rising Sun"	MGM	1964
Louis Armstrong	"What a Wonderful World"	ABC	1967
Joan Baez	"We Shall Overcome"	Vanguard	1963
The Beach Boys	"Good Vibrations"	Capitol	1967
The Beatles	"I Want to Hold Your Hand"	Capitol	1964
The Beatles	"Yesterday" / "Act Naturally"	Capitol	1965
The Beatles	Sgt. Pepper's Lonely Hearts Club Band	Capitol	1967
Tony Bennett	"I Left My Heart in San Francisco"	Columbia	1962
James Brown	"I Got You (I Feel Good)"	King	1965
Buffalo Springfield	"For What It's Worth"	Atco	1967
The Byrds	"Turn Turn Turn"	Columbia	1965
Glen Campbell	"By the Time I Get to Phoenix"	Capitol	1967
Johnny Cash	"Ring of Fire"	Columbia	1963
Chubby Checker	"The Twist"	Parkway	1960
Petula Clark	"Downtown"	Warner Bros.	1965
Patsy Cline	"I Fall to Pieces"	Decca	1961
John Coltrane	"A Love Supreme"	Impulse	1964
Credence Clearwater Revival	"Proud Mary"	Fantasy	1969
Jackie DeShannon	"What the World Needs Now Is Love"	Imperial	1965
Dion	"Runaround Sue"	Laurie	1961
Dion	"Abraham, Martin and John"	Laurie	1968
The Doors	"Light My Fire"	Elektra	1967
The Drifters	"On Broadway"	Atlantic	1963
Bob Dylan	"The Times They Are A-Changin'"	Columbia	1964
Bob Dylan	"Like a Rolling Stone"	Columbia	1965
The Four Tops	"Reach Out I'll Be There"	Motown	1966
*Aretha Franklin	"Respect"	Atlantic	1967
Marvin Gaye	"I Heard It Through the Grapevine"	Tamla	1968
Marvin Gaye/Tammi Terrell	"Ain't No Mountain High Enough"	Tamla	1967
Bobbie Gentry	"Ode to Billy Joe"	Capitol	1967
Stan Getz/Astrud Gilberto	"The Girl From Ipanema"	Verve	1964
Lesley Gore	"It's My Party"	Mercury	1963
Ramsey Lewis Trio	"The In Crowd"	Argo	1965
Merle Haggard	"Sing Me Back Home"	Capitol	1967
Edwin Hawkins Singers	"O Happy Day"	Pavillion	1969
Jimi Hendrix	"All Along the Watchtower"	Reprise	1968
The Impressions	"People Get Ready"	ABC Parrott	1965
Jefferson Airplane	"White Rabbit"	RCA	1967
Janis Joplin	"Me and Bobby McGee"	Columbia	1971
B.B. King	"The Thrill Is Gone"	Blues Way	1969
Ben E. King	"Stand By Me"	Atco	1961

THE 365 SONGS OF THE CENTURY

THE 'SIXTIES (1960-1970)

The Kingsmen	"Louie Louie"	Wand	1963
The Kinks	"You Really Got Me"	Reprise	1964
Brenda Lee	"I'm Sorry"	Decca	1960
Ketty Lester	"Love Letters"	Era	1962
Little Eva	"The Loco-Motion"	Dimension	1962
Mamas & Papas	"California Dreamin'"	Dunhill	1966
Henry Mancini	"Moon River"	RCA	1961
Martha & The Vandellas	"Dancing in the Street"	Gordy	1964
Dean Martin	"Everybody Loves Somebody"	Reprise	1964
Roger Miller	"King of the Road"	Smash	1965
The Miracles	"The Tracks of My Tears"	Tamla	1965
Roy Orbison	"Crying"	Monument	1961
Roy Orbison	"Oh Pretty Woman"	Monument	1964
Peter, Paul & Mary	"Blowin' in the Wind"	Warner Bros.	1963
Wilson Pickett	"In the Midnight Hour"	Atlantic	1965
Otis Redding	"Dock of the Bay"	Volt	1968
The Righteous Brothers	"You've Lost That Lovin' Feelin'"	Philles	1965
Marty Robbins	"El Paso"	Columbia	1959
The Rolling Stones	"Satisfaction"	London	1965
The Ronettes	"Be My Baby"	Philles	1963
Sam & Dave	"Soul Man"	Stax	1967
The Shangri-Las	"Leader of the Pack"	Red Bird	1964
The Shirelles	"Will You Love Me Tomorrow"	Scepter	1961
Simon & Garfunkel	"Sounds of Silence"	Columbia	1965
Frank Sinatra	"Strangers in the Night"	Reprise	1966
Frank Sinatra	"My Way"	Reprise	1969
Percy Sledge	"When a Man Loves a Woman"	Atlantic	1966
Sly & The Family Stone	"Everyday People"	Epic	1968
Sonny & Cher	"I Got You Babe"	Atco	1965
Steppenwolf	"Born to be Wild"	Dunhill	1968
The Supremes	"Stop in the Name of Love"	Motown	1965
The Temptations	"My Girl"	Gordy	1965
B.J. Thomas	"Raindrops Keep Falling on My Head"	Scepter	1969
The Tokens	"The Lion Sleeps Tonight"	RCA	1961
The Tymes	"So in Love"	Parkway	1963
Dionne Warwick	"Walk on By"	Scepter	1964
Mary Wells	"My Guy"	Motown	1964
Tammy Wynette	"Stand By Your Man"	Epic	1968
cast recording	The Sound of Music	Columbia	1960
cast recording	Hair	RCA	1969

THE 365 SONGS OF THE CENTURY

THE ROCK ERA (1970-1980)

Abba	"Dancing Queen"	Atlantic	1977
Aerosmith	"Walk This Way"	Columbia	1976
Allman Brothers Band	"Ramblin' Man"	Capricorn	1973
The Bee Gees	"Stayin' Alive"	RSO	1978
George Benson	"This Masquerade"	Warner Bros.	1976
Jimmy Buffett	"Margaritaville"	ABC	1977
Shirley Caesar	"No Charge"	Scepter	1975
The Carpenters	"Close to You"	A&M	1970
Harry Chapin	"The Cat's in the Hat"	Elektra	1974
Chicago	"Saturday in the Park"	Columbia	1972
Jim Croce	"Time in a Bottle"	ABC	1973
Crosby, Stills, Nash & Young	"Ohio"	Atlantic	1970
Charlie Daniels Band	"The Devil Went Down to Georgia"	Epic	1979
Miles Davis	"Bitches Brew"	Columbia	1969
John Denver	"Take Me Home Country Roads"	RCA	1971
Derek & The Dominos	"Layla"	Atco	1972
Thomas Dorsey/Marion Williams	"Take My Hand Precious Lord"	Columbia	1973
The Eagles	"Hotel California"	Asylum	1977
Roberta Flack	"Killing Me Softly With His Song"	Atlantic	1973
Fleetwood Mac	"Go Your Own Way"	Reprise	1977
Marvin Gaye	"What's Going On"	Tamla	1971
Gloria Gayner	"I Will Survive"	Polydor	1979
The Grateful Dead	"Uncle John's Band"	Warner Bros.	1970
Al Green	"Let's Stay Together"	Hi	1972
Isaac Hayes	"Theme From Shaft"	Enterprise	1971
The Jackson 5	"I Want You Back"	Motown	1969
Waylon Jennings/Willie Nelson	"Mama's Don't Let Your Babies..."	RCA	1978
Billy Joel	"Piano Man"	Columbia	1974
Elton John	"Goodbye Yellow Brick Road"	MCA	1973
K.C. & The Sunshine Band	"That's the Way (I Like It)"	TK	1975
Carole King	"It's Too Late" / "I Feel the Earth Move"	Ode	1971
Gladys Knight & The Pips	"Midnight Train to Georgia"	Buddah	1973
Led Zeppelin	"Stairway to Heaven"	Atlantic	1971
John Lennon	"Imagine"	Apple	1971
Loretta Lynn	"Coal Miner's Daughter"	Decca	1970
Lynyrd Skynyrd	"Free Bird"	MCA	1974
*Don McLean	"American Pie"	United Artists	1971
Harold Melvin/Blue Notes	"If You Don't Know Me By Now"	Phila.Int'l.	1972
Joni Mitchell	"Big Yellow Taxi"	Reprise	1970
Van Morrison	"Brown Eyed Girl"	Bang	1967
Johnny Nash	"I Can See Clearly Now"	Epic	1972
Niisson	"Everybody's Talkin'"	RCA	1969

THE 365 SONGS OF THE CENTURY

THE ROCK ERA (1970-1980) cont.

Queen	"We Are the Champions/We Will Rock You"	Elektra	1977
Helen Reddy	"I Am Woman"	Capitol	1972
Charlie Rich	"Behind Closed Doors"	Epic	1973
Kenny Rogers	"The Gambler"	United Artists	1978
Linda Ronstadt	"When Will I Be Loved"	Capitol	1975
Santana	"Oye Como Va"	Columbia	1971
Carly Simon	"You're So Vain"	Elektra	1973
Sister Sledge	"We Are Family"	Cotillion	1979
Bruce Springsteen	"Born to Run"	Columbia	1975
The Staple Singers	"Respect Yourself"	Stax	1971
Edwin Starr	"War"	Gordy	1970
Rod Stewart	"Maggie May"	Mercury	1971
Barbra Streisand	"The Way We Were"	Columbia	1973
Donna Summer	"She Works Hard for the Money"	Mercury	1983
James Taylor	"Fire and Rain"	Warner Bros.	1970
Three Dog Night	"Joy to the World"	Dunhill	1971
The Village People	"Y.M.C.A."	Casablanca	1978
Weather Report	"Birdland"	Columbia	1976
Bill Withers	"Lean On Me"	Sussex	1972
Stevie Wonder	"Superstition"	Tamla	1972
Stevie Wonder	"You Are the Sunshine of My Life"	Tamla	1973
Neil Young	"Heart of Gold"	Reprise	1972
soundtrack recording	Grease	RSO	1979

THE 365 SONGS OF THE CENTURY

THE 'EIGHTIES (1980-1990)

Alabama	"My Home's in Alabama"	RCA	1980
The B-52's	"Love Shack"	Reprise	1989
The Beastie Boys	"Fight for Your Right (to Party)"	Def Jam	1987
Biondie	"Heart of Glass"	Chrysalis	1979
Irene Cara	"Flashdance"	Casablanca	1983
Kim Carnes	"Bette Davis Eyes"	EMI America	1981
Joe Cocker/Jennifer Warnes	"Up Where We Belong"	Island	1982
The Go-Go's	"We Got the Beat"	IRS	1982
Grandmaster Flash	"The Message"	Sugar Hill	1982
Amy Grant	"El Shaddai"	Myrrh	1982
Guns N' Roses	"Sweet Child o' Mine"	Geffen	1988
Herbie Hancock	"Rockit"	Columbia	1983
Michael Jackson	"Beat It"	Epic	1983
Joan Jett	"I Love Rock 'n' Roll"	Boardwalk	1982
George Jones	"He Stopped Loving Her Today"	Epic	1980
The Judds	"Mama He's Crazy"	RCA/Curb	1984
Kool & The Gang	"Celebration"	De-Lite	1980
Cyndi Lauper	"Girls Just Want to Have Fun"	Portrait	1983
Bobby McFerrin	"Don't Worry Be Happy"	EMI	1988
Madonna	"Material Girl"	Sire	1985
John Cougar Mellencamp	"Jack and Diane"	Riva	1982
George Michael	"Faith"	Columbia	1987
Bette Midler	"The Wind Beneath My Wings"	Atlantic	1989
Willie Nelson	"On the Road Again"	Columbia	1980
Dolly Parton	"9 to 5"	RCA	1980
Tom Petty	"Free Fallin'"	MCA	1989
Pink Floyd	"Another Brick in the Wall"	Columbia	1980
The Pointer Sisters	"I'm So Excited"	Planet	1984
The Police	"Every Breath You Take"	A&M	1983
Prince	"1999"	Warner Bros.	1982
Prince	"Purple Rain"	Warner Bros.	1984
Public Enemy	"Fight the Power"	Motown	1989
Bob Seger	"Old Time Rock & Roll"	Capitol	1979
Paul Simon	"Graceland"	Warner Bros.	1986
Bruce Springsteen	"Born in the U.S.A."	Columbia	1984
Sugarhill Gang	"Rapper's Delight"	Sugar Hill	1979
Talking Heads	"Burning Down the House"	Sire	1983
*Tina Turner	"What's Love Got to Do With It"	Capitol	1984
USA for Africa	"We Are the World"	Columbia	1985
U2	"I Still Haven't Found What I'm Looking For"	Island	1987
Van Halen	"Jump"	Warner Bros.	1984
Dionne Warwick & Friends	"That's What Friends Are For"	Arista	1986
Hank Williams Jr.	"All My Rowdy Friends Are Coming Over Tonight"	WB	1984
Steve Winwood	"Higher Love"	Island	1986

THE 365 SONGS OF THE CENTURY

END OF THE MILLENNIUM (1990-2000)

Boyz II Men/Mariah Carey	"One Sweet Day"	Columbia	1996
Garth Brooks	"Friends in Low Places"	Capitol	1990
Tracy Chapman	"Fast Car"	Elektra	1988
Eric Clapton	"Change the World"	Reprise	1996
Sheryl Crow	"All I Wanna Do"	A&M	1994
Destiny's Child	"Bills, Bills, Bills"	Columbia	1999
Billy Ray Cyrus	"Achy Breaky Heart"	Mercury	1992
Celine Dion	"My Heart Will Go On"	550/Epic	1998
Dixie Chicks	"Wide Open Spaces"	Monument	1998
M.C. Hammer	"U Can't Touch This"	Capitol	1990
Faith Hill	"This Kiss"	Warner Bros.	1999
Lauryl Hill	"Doo Wop (That Thing)"	Ruffhouse	1998
Whitney Houston	"I Will Always Love You"	Arista	1992
Elton John	"Candle in the Wind"	Rocket	1997
R. Kelly	"I Believe I Can Fly"	Jive	1997
Tim McGraw	"Please Remember Me"	Curb	1999
Ricky Martin	"Livin' La Vida Loca"	Columbia	1999
*Nirvana	"Smells Like Teen Spirit"	DGC	1992
R.E.M.	"Losing My Religion"	Warner Bros.	1991
Bonnie Raitt	"Something to Talk About"	Capitol	1991
Santana/Rob Thomas	"Smooth"	Arista	1999
Will Smith	"Men in Black"	Columbia	1997
TLC	"No Scrubs"	LaFace	1999
Shania Twain	"You're Still the One"	Mercury	1998
BeBe& CeCe Winans	"Addictive Love"	Capitol	1991
Lee Ann Womack	"I Hope You Dance"	MCA	2000

7. Has there been any indication by the authorizing committees that an NEA reauthorization could be moving forward this year?

ANSWER 7. Please refer to answers to questions 8 and 9 submitted by the subcommittee. In short, there has been an expression of interest on the part of the Select Education Subcommittee in the House, and there is a standing general interest on the part of the Senate Health, Education, Pensions and Labor Committee. Whether these expressions will translate to real action remains to be seen.

8. What is the status of proposals to move the NEA and the NEH from your location on Pennsylvania Avenue?

ANSWER 8. As the Committee is aware, the General Services Administration directed that the Arts Endowment relocate from the Old Post Office Building (OPOB). The GSA advised, however, that prior to this relocation, two important steps needed to occur. The first was the submittal and approval by Congress of a plan for redeveloping the OPOB. We are informed that this plan was submitted to the Congress late in calendar year 2000.

The second concerns submission of a prospectus to the Congress that includes information about the timing and costs associated with the move. We are informed that GSA intends to submit the prospectus shortly following Congressional approval of the redevelopment plan. GSA's current thinking, as we understand it, is for relocation to likely occur within two years following approval of the redevelopment plan. Based on this timing, GSA advised the Arts Endowment that the move would occur no earlier than FY 2003. Given the actual space needs, the adjustments made by GSA to accommodate fire egress and circulation space requirements and the continued increase in rental costs, the Arts Endowment anticipates a sizeable increase in its rent and related costs in FY 2003 or the year of relocation. Further, as the Committee was previously advised, GSA is not likely to fully cover all move/relocation costs. Thus, the Arts Endowment anticipates including these costs in its budget submission as well.

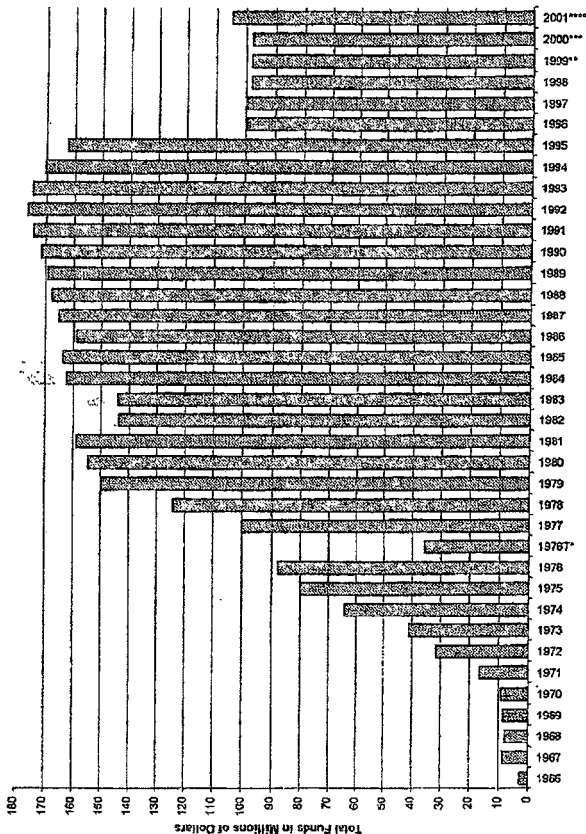
9. For the record would you insert a table and graph showing funding for the Endowment since its inception in 1965?

ANSWER 9. Please see the graph and table at Exhibit I.



APPROPRIATIONS HISTORY--FISCAL YEARS 1965-2001

YEAR	TOTAL FUNDS
1965	\$2,899,308
1967	\$8,475,682
1968	\$1,774,291
1969	\$8,456,875
1970	\$9,055,000
1971	\$16,420,000
1972	\$31,480,000
1973	\$40,857,000
1974	\$63,025,000
1975	\$90,142,000
1976	\$97,455,000
1977**	\$25,561,000
1977	\$99,972,000
1978	\$128,950,000
1979	\$148,985,000
1980	\$154,610,000
1981	\$159,785,000
1982	\$149,456,000
1983	\$143,675,000
1984	\$162,223,000
1985	\$163,660,000
1986	\$159,822,240
1987	\$185,261,000
1988	\$187,731,000
1989	\$169,693,000
1990	\$171,253,000
1991	\$174,080,737
1992	\$175,954,190
1993	\$174,459,392
1994	\$170,228,000
1995	\$162,311,030
1996	\$89,470,000
1997	\$99,484,000
1998	\$99,563,000
1999**	\$97,966,000
2000***	\$97,627,000
2001****	\$104,769,000



Source: Office of Policy Research and Analysis, National Endowment for the Arts
 *In 1976, the Federal government changed the beginning of the Fiscal Year from July 1 to October 1, hence the 1976 Transition ("T") Quarter.
 **In FY 1999, a \$34,000 rescission was enacted by Congress.
 ***In FY 2000, a 0.36% rescission was enacted by Congress.
 ****In FY 2001, a 0.22% rescission was enacted by Congress.

EXHIBIT I - QUESTION 9 FROM CONGRESSMAN DICKS

WEDNESDAY, APRIL 4, 2001.

NATIONAL ENDOWMENT FOR THE HUMANITIES

WITNESS

WILLIAM R. FERRIS, CHAIRMAN, NATIONAL ENDOWMENT FOR THE HUMANITIES

OPENING REMARKS

Mr. KOLBE [presiding]. The subcommittee will come to order. I will substitute here for our distinguished Chairman who is probably on his way back from his votes. But we are delighted to have members of the subcommittee and also Dr. Ferris here with us this morning. And he will then be followed by Bill Ivey from the National Endowment for the Arts. We are hoping to get both of these done before the noon break, the Chairman says in his statement here. That may be a little optimistic, but we are certainly going to try to do so.

We have a concern, I think we have always had a concern in this subcommittee, about the management of the agencies. We have tried to focus on that. Many of the other Members of Congress have focused on what they see as the political issues around these two agencies, both of which I think do a very good job. But we are going to focus on how the dollars are actually spent.

So we are going to turn first to Dr. Ferris and the National Endowment for the Humanities. With the increasing emphasis that we have on education in this country, it is important that we understand from you what you see as the role of NEH in supporting and complementing teaching efforts and your efforts to reach out to more parts of the country.

The President has asked for level funding for NEH of \$120.5 million. And in each of the past 2 years, you have received very small increases.

Before I turn the Chair over to Mr. Skeen—

Mr. SKEEN. You have done a great job.

Mr. KOLBE [continuing]. Let me ask the Ranking Member if he has an opening statement here.

OPENING STATEMENT OF MR. DICKS

Mr. DICKS. Yes, I do, Mr. Chairman.

Thank you, Mr. Chairman, for holding this hearing today for the National Endowment for the Arts and the National Endowment for the Humanities.

With the budget arriving late this year, we have compressed our hearing schedule a great, great deal. I want to thank the Chairman for setting aside today so that we may hear from the Endowments. Although we will not receive the formal budget request from the

administration until next week, we have been told that the President has requested level funding for both the NEA and the NEH in 2002.

Recognizing that the Interior bill will be below last year's level, I suppose we should be pleased to see that the President has not proposed any reduction in these programs. I will, however, reiterate my past support of the substantial increases requested by the last administration to bring both of the Endowments up to the \$150 million level.

This hearing gives us a chance to discuss the arts and humanities as national priorities. It also gives us a chance to discuss the very positive efforts that Bill Ivey and Bill Ferris have undertaken to bring these programs to more of America.

Today, both the NEA and the NEH reach a broader geographic and cultural segment of America under a more inclusive definition of the arts and the humanities. As the testimony this morning highlights, this definition goes beyond classical drama, music, and art, and beyond the classic elements of western literature and history. Because of the efforts of both Chairmen, I believe both agencies are more vibrant and more relevant to American society as we enter the 21st century.

Mr. Chairman, I believe that last year we took a huge step in terms of funding the cultural agencies. During last year's debate on this bill, the House rejected an amendment to cut the NEA by 2 percent on a rollcall vote of 152 to 256. Then, for the first time since the cuts of the mid-1990s, Congress approved an increase for these cultural agencies. With that vote, I hope that we put to rest efforts to reject or weaken the Federal role in support of the arts and humanities.

In my mind, this turnaround happened for two reasons. First, as I mentioned before, I think both agencies have aggressively moved to address some legitimate concerns about the role of the Endowments.

Second, however, I also believe that the general public has sent a strong message to Congress that they support these programs. I want to make clear, however, Mr. Chairman, that stopping efforts to cut funding for the NEA and the NEH is not enough. Funding for the Endowments is still 40 percent below the levels in 1995. I hope that we can now move to restore funding to the levels of 1995 or, as a minimum, to the \$150 million level for each Endowment. That was our goal last year. It is our time to give them the resources they have earned and which they have demonstrated can be used effectively for the American people.

And I think Mr. Obey has a statement that he would like to make at this time, Mr. Chairman.

OPENING STATEMENT OF MR. OBEY

Mr. SKEEN [presiding]. So be it. Mr. Obey.

Mr. OBEY. Thank you, Mr. Chairman. I apologize for taking the time, but I have a meeting with the Speaker at 11:30 and won't be able to stay for the two hearings. But I simply wanted to make an observation. It appears to me that the name of the game has probably changed in the battle over these two agencies.

In the past, we have seen efforts to really deeply cut the budget or eliminate the budget for them. It appears now to me that because of the public opinion backlash that created, that now the new name of the game seems to be to sort of slowly, over time, squeeze, not necessarily starve them out, but squeeze them out of the possibility of exploring new ways to make what these agencies are all about available to all Americans.

And that means we are going to see budgets that try to hold the funding level. Perhaps through the process, token amendments to increase it by token amounts may be accepted. I hope in the end we do more than that.

I would just like to share two impressions with the committee and with the two witnesses this morning. I think the single best writer in America today is a fellow by the name of Rick Bragg. He has written books that move me like I have been moved by no one since I read Jack London's prose many, many years ago.

And just because I think this relates to the humanities and some of what is said here relates to the arts, I would just like to show you what I mean and show you what you can get and how you can be moved by some of these things.

Bragg writes in his book *All Over but the Shoutin'*, and he is a newspaper writer, "I didn't get into this business to change the world, I just wanted to tell stories. But now and then, you can make people care, make people notice that something ain't quite right, and nudge them gently with the words to get off their ass and fix it. The fact is I did very few happy stories in Miami, and the vast majority didn't change a damn thing. I wrote about Castro selling relatives to Cuban Americans in Miami and the hopeless story of a man who had been choked into a coma by Miami police.

"Friends have told me I did too much of it, that I dwelled on it, that I should be careful not to let it build up inside me. One reporter, a friend, christened me the 'misery writer.' But I've always been able to distance myself and dance between the raindrops."

You know, my friends know, I am into bluegrass. When Bill Monroe died, this is part of what he wrote:

"Dateline Rosine, Kentucky. The dirt has music in it. Stand here amid the rain-streaked headstones in the Rosine Cemetery as dusk steals through the hills and hollows of western Kentucky and turns the steel towers of drag lines into the skeletons of dinosaurs and the strip-mined coal fields into moonscapes, and listen to the dark.

"For years, people have passed this way and sworn that they could hear the faint sound of a single fiddle drifting over from Jerusalem Ridge; or was it Hells Neck or Doodlepus Hollow? It is just Uncle Pendleton Vandiver on his way to another barn dance, fiddling on muleback as he rides and rides and rides.

"Never mind that there's a headstone with his name on it sunk in the ground. He is the fiddler made famous in the song by Bill Monroe's legendary nephew.

"Now when the faint fiddling drifts through the night, some swear that they can hear the sweet distant sound of a mandolin joining in.

"Monroe played the mandolin. It's been almost 2 months since Mr. Monroe's death, since he joined his uncle in the ground here in Rosine Cemetery, and, if you believe such things, since his spirit

joined his uncle's in the cool, crisp mountain air. If ghosts of bluegrass do walk the night on Earth, it must be here. Just as surely as the blues was born on the Mississippi Delta and a smoke-filled room in New Orleans gave birth to jazz, Rosine is the mother of bluegrass."

That to me is the kind of writing which we see so often and which if kids can be exposed to can, I think, stir their souls and make them think about lots of different things than the stuff they have thought before.

Just one other observation. Friday night, some of us were at the Library of Congress. Jim Billington had a reception there, and we had members of the Kirov Ballet. The last part of the program was simply the dying swan from Swan Lake. And this ballerina came out in the most exquisite performance that I think any of us had ever seen, and I was sitting next to Zbigniew Brzezinski and I couldn't help but realize, as she was moving and fluttering, you can hear the audience collectively saying, "mmm, mmm." It was so beautiful.

And to me we have had very narrow, very mean-minded arguments about these agencies for years, but those arguments have forgotten that these agencies help people in this society who have the capacity to move our souls. And to me, that is why we need to rise above our past debates on both of these agencies and to really, I believe, provide an initiative that will enable them to expand their mission.

And I simply want to take this time to thank you and to thank Bill Ivey for the work that you have done, because you have helped bring these agencies through two very—through some very tough times and I think put them on a stronger footing. And I hope, since I believe that you two have been up to the task, I hope that we are up to the task when the time comes, too.

Thank you very much, Mr. Chairman, for the time.

Mr. SKEEN. We are very interested in your testimony. But in the interest of time and to be sure that the members have time for questions, we would appreciate it if you could summarize, and your full statement will be entered in the record.

STATEMENT OF CHAIRMAN BILL FERRIS

Mr. FERRIS. Thank you, Mr. Chairman. I would request that my testimony be submitted for the record. I want to tell you personally how honored I am to be before your committee to present testimony in support of the administration's appropriation request.

Mr. SKEEN. We are the best one of the whole lot.

Mr. FERRIS. You are. You are my favorite. I never miss a chance.

Mr. SKEEN. Thank you.

Mr. FERRIS. I look forward to working closely with you, Chairman Skeen, with Congressman Dicks, with individual members of this committee, and with committee staff in support of our request. I want to take this opportunity to congratulate you, Congressman Skeen, on your appointment as Chairman. I know that the committee is in fine hands now, and that you will carry on the impressive leadership tradition of Congressman Regula and Sid Yates.

Mr. SKEEN. It is a tough order, but thank you.

Mr. FERRIS. You are walking in good tradition here.

Mr. SKEEN. I just had my physical today. This will help me out, so I am here for another round.

Mr. FERRIS. Great. Well, we are proud you are here.

The Endowment will support many outstanding projects for the American people with the funding we are requesting for the next fiscal year. We will work closely with the new administration and with Congress to continue our agency's efforts on behalf of the humanities.

REDISCOVERING AMERICA

I want to pause for a moment to call your attention to the agency's 35 years of service to the American people. We recently published this beautiful book, *Rediscovering America: Thirty-five Years of the National Endowment for the Humanities*, which highlights the many NEH-supported books, museum exhibitions, seminars for teachers, and documentary films that we have provided our Nation's citizens and that have given them significant new opportunity to deepen their understanding of the humanities. And I would like to ask that this copy be given to the committee and to request that it be inserted in the hearing record.

[NOTE.—Material is attached for the record.]

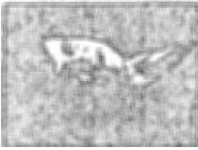
[The information follows:]



Rediscovering America

THIRTY-FIVE YEARS OF THE NATIONAL ENDOWMENT *for the HUMANITIES*

*Marking an Anniversary:
A Report to Congress*



we take a moment to reflect on both our history and our future. For more than three and one-half decades, NEH has touched the lives of all Americans through our support for scholars, filmmakers, teachers, librarians, and museum curators. A long list of books, exhibitions, and films funded by NEH has provided Americans with significant new opportunities for lifelong learning. These resources deepen our understanding of the nation and of the people who journeyed here from throughout the world, forging their diverse histories into a distinctive American culture. As we read *Huckleberry Finn*, listen to a blues performance by B.B. King, or reflect on Albert Einstein's theory of relativity, we open doors to the humanities that help us understand what it means to be an American in the twenty-first century. We are proud of how NEH enriches the daily life of every citizen and pledge that we will continue to serve the nation through the humanities.

On page after page of this book, we see how the humanities offer a panoramic view of the American experience. This book and the memorable humanities projects it showcases are our gift to the nation. These impressive projects help us rediscover America as we encounter the people and the cultures that shaped our nation's history. It is a rich, complex portrait that touches the heart and connects each of us and our families to the larger American story.

NEH is appreciative of its partnership with Congress, the White House, and the American people, all of whom understand and believe in the enduring power of the humanities. We will continue to strengthen both public and private support for the humanities, and we pledge to enrich the life of every American in the coming years through these programs. We will etch our story as a nation and as a people in the memory of every American as we shape a legacy of which we can all be proud.

Sincerely yours,

William R. Ferris, Chairman
National Endowment for the Humanities

The humanities are about people. Where they come from. Who they are and how they got that way. Where they're going. The humanities are central to our understanding of ourselves and all other human beings. They're all-encompassing. From them we learn about people at war, its causes and consequences, about people creating political forms of every type, culminating with democracy and its openness to the inclusion of women as well as men, Africans and Asians and all others, about the migrations of people across the earth, their language and culture, how people create literature and what their outpourings meant to them and mean to us, about people making music, philosophical to rap and everything in between, about people as artists, whether in paintings or sculpture or photography or buildings, and how they made what they made and why we learn from and delight in their output, about scientists and technologists and what they invented and developed and its impact on the human condition, about the origins and development of business and its role.

The humanities are the history of mankind. As a lifetime teacher of history, I've had countless students tell me, "Doc, I hate history." That can't be," I reply. "What you mean is you hate the way history was taught in your high school, all those dates and places to memorize. But you can't hate history, which is about people. And what can be more fascinating to people than other people? History is about who they were, what challenges they faced, how they coped and created."

Only through history can we learn where we are. Like a navigator, we can't know that until we know how we got there. With that knowledge, we can figure out and change our destination. That is why the National Endowment for the Humanities has been, is, and will be one of our preeminent institutions. Founded in 1965, it has sponsored and supported research and writing in every field of human endeavor, as demonstrated in readable form in this book. Everything human, in the United States and throughout the world, is touched upon. NEH has funded projects that include books, films, museum exhibits, and more. Without NEH and its work, we would all be poorer.

I once spent five years working on an NEH-funded project, *The Papers of Dwight D. Eisenhower*. I was the associate editor. Alfred D. Chandler, Jr. was the editor for the five volumes covering *The War Years*. Louis Galambos continued the work through the many volumes covering Eisenhower's presidency. The Johns Hopkins University Press published the books, thanks to NEH support. NEH is also sponsoring the publication of the papers of George Marshall. Anyone doing a history of any part of American involvement in the most decisive event of the twentieth century uses those books for reference, research, and understanding. Without NEH, they would not be available. Without them, our knowledge of the early Cold War and the politics of the 1950s would be badly deficient.

So too for the many other volumes of presidential papers, beginning with George Washington, brought to life with NEH support. Our understanding of our own past is immeasurably more complete and richer thanks to those volunteers and the many others on American politicians of all persuasions.

The range and scope of the work of NEH, in this book as in the multiple projects it makes possible and supports, is the whole of human history, with a special concentration on American history. It used to be, when I was a graduate student, that the study of American history was a study of white men and their accomplishments and failures. Now we have democracy that is far broader: This is because we Americans are the world. We come from all over the globe. We realize that our strength comes from our commitment to universal education and our diversity. NEH recognizes this and, along with many others, is responsible for this marvelous development. Today, history is about all of us.—women as well as men, whites, African Americans, Asian Americans, Spanish-speaking Americans and all the rest, along with scientists, businessmen, musicians, artists, and writers.

I recently heard a group of middle-aged businessmen talking about the waste of talent in America caused by the numbers of college students majoring in the liberal arts. Much better for them and us, they said, if the students majored in business.

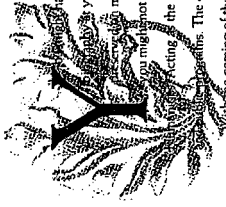
Listening, I grew furious. I said to them, "Imagine what a world this would be if your grandchildren didn't know Shakespeare. If the name Hamlet meant nothing to them. It would be a much poorer and sadder world. I think liberal arts is the best of all possible majors. Let the kids go to graduate school in business, but first make sure they are educated."

It is not necessary to instruct NEH on the importance of Shakespeare, as this book demonstrates. Thanks in part to NEH's work, Shakespeare lives on as "A Bard for the Ages." Our children and grandchildren and their progeny will find one of their greatest delights in life in reading and studying him.

So too will they grow and prosper and create through their studies of science, technology, the arts, the history of China and Egypt and elsewhere, all helped along thanks to NEH. For myself, I can't imagine living in America without NEH.

The proper study of mankind is man. The National Endowment for the Humanities makes that study possible. ♠

—Stephen Ambrose



have gazed at the treasures from King Tut's tomb, or purchased the latest Pulitzer-Prize winning novel, or read your local bookstore, or read your grandmother's wedding announcement in a 1934 newspaper microfilm, or been one of the thirty-eight million who watched Ken Burns' *The Civil War*. What you might not know is that all of these were made possible by support from the National Endowment for the Humanities, NEH awards grants to support research, education, preservation, and the arts in America. The end result is new worlds of learning for the American public.

With the coming of the new century, we at the National Endowment for the Humanities have been taking stock of where we have been during our thirty-five-year existence and what that history implies for the future. The Endowment convened working groups to review the funding of projects in four key areas: regional studies, international studies, lifelong learning, and the intersection of humanities, science, and technology. Staff members pored over grant files and annual reports, and talked with scholars and institutional leaders around the country. The findings provide an overview of NEH-funded projects and offer a compelling picture of the Endowment's impact. We have supported 58,000 projects with \$3.72 billion in congressional support; those projects have generated \$1.63 billion in private giving.

NEH-supported projects help Americans explore the places in which they live. While we often talk about "one nation," the United States actually consists of many regions. These regions—with their accents, history, culture, and folkways—help shape who we are. Since 1966, the Endowment has awarded more than \$370 million to support regionally oriented projects, including the creation of academic programs and centers devoted to the interdisciplinary study of the South, the Great Plains, and other regions. Reference books, ranging from *The Handbook of Texas* to the *Dictionary of American Regional English*, illustrate the complexities and joys of American regionalism. As part of NEH's Rediscovering America theme, we recently launched a grant competition that will help underwrite the establishment of ten regional humanities centers across the United States. An ambitious partnership between the Endowment and private contributors, the Regional Humanities Center Initiative will create cultural hubs where scholars, teachers, students, and the public can come together to investigate what defines and transcends a region.

The Endowment has also played an integral part in bringing the culture and history of other nations to Americans. With NEH support, teams of scholars have created monumental reference works, such as *The Cambridge History of China*, the *Encyclopedia of Islam*, and *The Oxford History of the British Empire*. These volumes draw on cutting-edge research and reflect the leading role played by American scholars in humanities scholarship. More than one thousand translations have made key cultural texts available to English-language readers, helping them understand historical, philosophical, and religious developments in

other parts of the world. The Endowment has also been an enduring source of support for archaeology projects, many of which have altered our understanding of Old and New World antiquity. Summer seminars and institutes about the history and culture of other nations equip school and college teachers with the knowledge they need to incorporate international perspectives into their courses. Language immersion programs help foreign-language teachers maintain and improve their proficiency. More recently, the Endowment has sponsored the development of CD-ROMs and websites that give teachers and students easy access to materials about foreign cultures and languages.

NEH has been a leader in helping the public understand advances in science and technology. Editions of great texts of scientific thought, including key works by Ptolemy, Aristotle, Galileo, and Newton, let students explore how scientists solved perplexing questions about gravity, astronomy, and medicine. Interested readers can follow the experiments and problem-solving methods of Charles Darwin, Thomas Edison, and Albert Einstein by reading edited volumes of their papers. The Endowment has also supported efforts to make the humanities part of the curricula offered by technical and career-oriented programs at two-year colleges, providing students with important perspectives on their training. At the same time, NEH has aggressively encouraged the use of technology in humanities scholarship, teaching, and cultural programs for the public. Our efforts have led to the creation of databases, CD-ROMs, and websites that make fragile archival resources available to scholars and the public. Many of these are accessible on *EDSITEment* (<http://edsitement.neh.gov>), our one-stop humanities Web resource. NEH also works with the archival community to ensure these new digital resources remain accessible in the face of rapid changes occurring in technology.

The creation of new knowledge presents exciting possibilities for formal and informal education, and the Endowment has long provided Americans with opportunities for learning. NEH-supported projects have generated some of the most important advances in teacher training, educational technology, and curriculum design. NEH funding helped create the widely imitated Yale-New Haven model for school and university collaborations to improve professional development opportunities for inner-city teachers. With Endowment support, dozens of colleges and universities established a common core of learning in their undergraduate programs. NEH support of public programs also provides Americans opportunities to learn outside and beyond the classroom. Millions of adults who are working or retired, and no longer engaged in formal education, find cultural enrichment in their communities through museum- and library-based activities and public television and radio programming.

The following pages offer a sample of projects funded by the Endowment over its thirty-five-year history. As you turn them, we hope that you learn a little more about us, as well as the nation and the world.

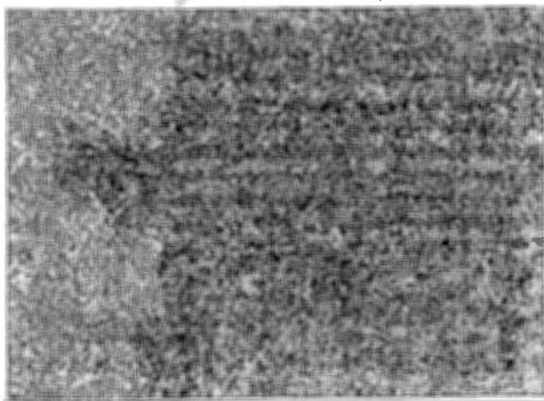
WE, the People of the United States, in order to obtain a more perfect union, establish justice, insure domestic tranquility, provide for the common defence, promote the general welfare, and secure the blessings of liberty to ourselves and our posterity, do ordain and establish this Constitution for the United States of America.

Revisiting the Revolution

Historian Jack Rakove calls it the "American search for a usable past," referring to people who look to the Revolutionary period for solutions to current problems or to bolster a particular political agenda. But something else can—and frequently does—happen along the way. "If they visit the past often enough," he says, "they may start to understand the past in its own terms, and realize that it's interesting on its own merits." There is a lot to be interested in. Over the past four decades a profound change has occurred in the way scholars look at the American Revolution and the drafting of the Constitution.

Beginning in the 1960s, historians started to look beyond the deeds of great men—Franklin, Jefferson, Paine, Hamilton. They began asking questions about formerly overlooked groups, such as women, slaves, and the working class. The end result was pioneering research that has lent greater texture to the era and demonstrated the profound changes spurred on by the American Revolution. By attacking patriarchy via the monarchy, the Revolution challenged people to examine the relationships between masters and servants, fathers and children, men and women. Historian Gordon Wood sees a direct line from the questioning of the Revolution to the Seneca Falls convention in 1848, the gathering that launched the woman suffrage movement, as well as to the abolitionist movement.

The shift in scholarship on the Revolution can be seen in *Liberty*, a 1997 documentary supported by NEH. The film uses the famous engraving of the citizens of New York toppling the statue of King George III. Instead of emphasizing the man represented by the statue, the film highlights the actions of the people at the base. Wood, who served as a consultant, notes that "forty years ago, the story of the Revolution would have only been told in terms of the leaders." The people doing the toppling would not have gotten a second glance.





The Adams Chronicles

The *Adams Chronicles* has a great deal to contribute with the Bicentennial in 1976, was one of the first three-hour history film documentaries on public television.

Original Meanings



THE HISTORY OF THE
 MAKING OF
 A GENERATION
 AMERICAN
 REPUBLIC
 1776-1787
 GORDON S. WOOD

First cover of the Republic

New questions about the Revolutionary period also revealed the radical and creative nature of the thinking behind the founding of the American Republic. Over the course of their struggles with the British, the colonists gave new definitions to old concepts such as sovereignty, rights, representation, and constitution. The colonists also came to realize that American society—isolated from the metropolis—had become markedly different from the Old World culture it had long sought to emulate.

Bernard Bailyn did much of the work that opened these new avenues of scholarship. In *The Ideological Origins of the American Revolution*, Bailyn showed how the leaders of the American Revolution created a doctrine of federalism by drawing on diverse political traditions, including English conservatism, Enlightenment thinkers, and misinterpretations of Roman civilization. With the Pulitzer Prize-winning *Voyagers to the West*, Bailyn turned his attention to the origins, the motives, and experiences of the men and women who immigrated to British North America. For his contributions, Bailyn was named the 1998 Jefferson Lecture in the Humanities, the highest honor conferred by the federal government for intellectual achievement in the humanities.

Bailyn's students have left their mark as well. Rakove, who has described his encounters with Bailyn as a "transforming intellectual experience," received the 1997 Pulitzer Prize for *Original Meanings: A Look at the Historical and Ideological Complexities Behind the Constitution*. Wood received the Bancroft Prize for *The American Revolution and the Making of a New Republic, 1776-1787*, which charts the creation of a distinctly American system of politics. Both books were written with NEH support.



The Papers of Benjamin Franklin

A team of scholars at Yale University is editing the papers of Benjamin Franklin, the noted American statesman, scientist, inventor, and writer. Thirty-five volumes have already been published.

Raising the Constitution

Scholars at the University of Wisconsin are preparing a documentary history of the ratification of the Constitution and the Bill of Rights.

AMERICAN
 REVOLUTION

Prizes and People

Pulitzer Prize

Books written and published with NEH support have received fourteen Pulitzer Prizes. The Pulitzer Prize has been awarded annually since 1917. Administered by Columbia University, the prize recognizes works of exceptional merit in all areas of journalism, fiction, nonfiction, history, biography, and poetry.

1978 Pulitzer Prize for Letters in History

DUMAS MALONE
Jefferson and His Time
 (Boston: Little, Brown, 1968-75)

1978 Pulitzer Prize in Journalism

JAMES RISSER
De Meiers Register

1979 Pulitzer Prize in History

DON E. Fehrenbacher
The Dred Scott Case: Its Significance in American Law and Politics
 (New York: Oxford University Press, 1978)



WILLIAM COOPER'S TOWN
 FROM THE CIVIL WAR ERA

1979 Pulitzer Prize in Journalism

JAMES RISSER
Des Moines Register

1985 Pulitzer Prize in Biography

ELIZABETH FRANK
Louis Bagon: A Portrait
 (New York: Alfred A. Knopf, 1985)

1987 Pulitzer Prize for Letters in History

BERNARD BALLYN
Voyagers to the West: A Passage in the Peopling of America on the Eve of the Revolution
 (New York: Alfred A. Knopf, 1986)

1988 Pulitzer Prize in History

JAMES M. MCPHERSON
Battle City of Freedom: The Civil War Era
 (New York: Oxford University Press, 1988)

1989 Pulitzer Prize in History

LAUREL T. ULRICH
A Midwife's Tale: The Life of Martha Ballard, Based on Her Diary, 1785-1812
 (New York: Alfred A. Knopf, 1990)

1994 Pulitzer Prize in Biography

JOAN D. HEDRICK
Harriet Beecher Stowe: A Life
 (New York: Oxford University Press, 1994)

1995 Pulitzer Prize in History

ALAN TAYLOR
William Cooper's Town: Power and Persuasion on the Frontier of the Early American Republic

1997 Pulitzer Prize in History

JACK RAKOVE
Original Meanings: Politics and Ideas in the Making of the Constitution
 (New York: Alfred A. Knopf, 1997)

1999 Pulitzer Prize in History

EDWIN C. BURROWS AND MIKE WALLACE
Gotham: A History of New York City to 1898
 (New York: Oxford University Press, 1998)

2000 Pulitzer Prize for History

DAVID M. KENNEDY
Freedom from Fear: The American People in Depression and War, 1929-1945
 (New York: Oxford University Press, 1999)

2000 Pulitzer Prize for Biography

STACY SCHIFF
Vera (Mrs. Vladimir Nabokov)
 (New York: Random House, 1999)



Bancroft Prize

Books written and published with NEH support have received seventeen Bancroft Prizes. The Bancroft Prize has been awarded annually by Columbia University since 1948. The prize recognizes books of exceptional merit in American history, biography, or diplomacy.

1970 Bancroft Prize

GORDON S. WOOD
The Creation of the American Republic, 1776-1787
(Chapel Hill: The University of North Carolina Press, 1969)

1975 Bancroft Prize

R. W. B. LEWIS
Edith Wharton: A Biography
(New York: Harper and Row, 1975)

1980 Bancroft Prize

ROBERT DALLEK
Franklin D. Roosevelt and American Foreign Policy, 1932-1945 (New York: Oxford University Press, 1979)

1986 Bancroft Prize (co-winner)

THOMAS DUBLIN
Women at Work: The Transformation of Work and Community in Lowell, Massachusetts, 1820-1860
(New York: Columbia University Press, 1975)

1981 Bancroft Prize (co-winner)

EDWARD COUNTRYMAN
A People in Revolution: The American Revolution and Political Society in New York, 1760-1790
(Baltimore: The Johns Hopkins University Press, 1981)

1981 Bancroft Prize (co-winner)

JEAN STRAUSS
Alfred James A Biography
(Boston: Houghton Mifflin Company, 1980)

1983 Bancroft Prize

NICHOLAS A. SAIMTORE
Engel V. Drips: Citizen and Socialist
(Urbana: University of Illinois Press, 1983)

1988 Bancroft Prize

ERIC FONER
Reconstruction: America's Unfinished Revolution, 1863-1877
(New York: Harper and Row, 1988)

1988 Bancroft Prize (co-winner)

NEIL R. McMILLEN
Dark Journey: Black Mississippians in the Age of Jim Crow
(Champaign: University of Illinois Press, 1989)

1989 Bancroft Prize (co-winner)

LAUREL T. ULRICH
A Midwife's Tale: The Life of Martha Ballard, Based on Her Diary, 1783-1812
(New York: Alfred A. Knopf, 1990)

1991 Bancroft Prize

LIZABETH COHEN
Making a New Deal, Industrial Workers in Chicago, 1919-1935

(New York: Cambridge University Press, 1990)

1993 Bancroft Prize

MELVYN P. LEFFLER
A Preponderance of Power: National Security, the Truman Administration, and the Cold War
(Stanford: Stanford University Press, 1992)

1994 Bancroft Prize

WINTHROP JORDAN
Tammy and Silence at Second Creek: An Inquiry Into a Civil War Slave Conspiracy
(Baton Rouge: Louisiana State University Press, 1993)

1996 Bancroft Prize (co-winner)

DAVID S. REYNOLDS
With Whites: America, A Cultural Biography
(New York: Alfred A. Knopf, 1995)

1996 Bancroft Prize (co-winner)

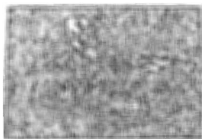
ALAN TAYLOR
William Cooper's Town: Power and Persuasion on the Frontier of the Early American Republic
(New York: Alfred A. Knopf, 1995)

1997 Bancroft Prize

DAVID E. KYVIG
Explicit and Implicit Acts: Amending the U.S. Constitution, 1776-1998 (Iverson: University of Kansas Press, 1996)

2000 Bancroft Prize

JAMES H. MERRELL
Into the American Woods: Nighthawk on the Pennsylvania Frontier
(New York: W.W. Norton, 2000)



Mr. FERRIS. Mr. Chairman, with your permission, I would like to speak informally about our work at NEH.

Mr. SKEEN. Done.

Mr. FERRIS. Instead of reading a lengthy written presentation, I simply want to describe 10 notable initiatives that we have developed over the past few years which are at the heart of our effort to enrich the life of every American through the humanities.

REGIONAL HUMANITIES CENTERS

The first initiative is our creation of 10 regional humanities centers to explore America's distinctive regional cultures. Using monies raised largely from private gifts, planning grants of \$50,000 are in place at two universities in each of the 10 regions. Later this year, we will fund Challenge grants at one institution in each region.

This is a public/private collaboration, and each center will raise \$3 for every dollar provided by NEH. The initiative will leverage \$180 million from private sources to match \$20 million from Congress. I am proud to say that last month NEH received \$2.5 million from the Knight Foundation, the largest private gift in our agency's 35-year history, to help fund these centers.

Secondly, we are creating on-line encyclopedias on the history and culture of every State, territory, and the District of Columbia. These encyclopedias will be invaluable resources for education, cultural development, economic development, and cultural tourism. We are funding the encyclopedias through the State humanities councils, and councils in Ohio, Minnesota, and Virginia were included among the 17 planning grants that were awarded last week. Many other councils will submit proposals for planning grants at our July deadline.

LIBRARIES

Another important initiative is for our Nation's libraries. In honor of National Library Week, First Lady Laura Bush recently described libraries as "palaces of the people." With a \$1 million gift from the Carnegie Corporation of New York, NEH has formed a partnership with the Library of America and the American Library Association to launch our Millennium Libraries Project. The project will allow 800 public libraries to receive the 50 most recent volumes published by the Library of America and will also support public programs at each library related to the volumes.

This is an example of the quality and the beauty of these Library of America volumes. This particular one is the writings of George Washington.

[EDITOR'S NOTE.—Mr. Ferris displayed a copy of a book.]

Mr. FERRIS. As a part of this grant-making program, NEH launched its first on-line application process, and we will use it as a model to create on-line applications for our entire agency over the next 2 years. Nearly three hundred libraries were funded last week for this project, including the Eunice Public Library and the Bosque Farms Public Library in New Mexico; the Jenkins County Memorial Library in Sylvania, Georgia; the Ohoopce Regional Library System in Vidalia, Georgia; the Caviglia-Arivaca Library in

Tucson, Arizona; and the Spencer Library in Spencer, New York. An additional 500 libraries will be given similar grants in July.

Our fourth partnerships initiative is the development of partnerships with the Federal and nonFederal organizations, including America's Promise, the American Library Association, and the National Park Service.

In 1999, NEH created a partnership with General Colin Powell and his nonprofit organization, America's Promise, to provide humanities programs for our Nation's disadvantaged young people. Our newest initiative is the development of content-rich activities in the humanities that will be used in after-school programs.

As I have mentioned, in the year 2000, we also partnered with the American Library Association to create our Millennium Libraries Initiative. And our partnership with the National Park Service allows park historians to study at NEH summer seminars for college teachers. And we have also installed a major exhibition at Mount Rushmore National Memorial in South Dakota.

FAMILY HISTORY

Fifth, our "My History is America's History" project encourages every American to explore their family history. Launched in 1999 with a cover story in Parade magazine, two copies of our guidebook are now in every library in the Nation. The book can also be downloaded from our Website at myhistory.org. And we are working with teachers to encourage the use of family history in the classroom.

Sixth, and especially important to me, is that as a result of our efforts to build bipartisan support in Congress, the NEH budget has grown by \$10 million over the past 2 years. Through this increase, legislators have demonstrated their support for our agency's work.

GRANTS AND PROGRAMS

A seventh initiative has been to combine 17 sets of guidelines and an agency overview into one book, thus saving 2 million pages. This one book contains all of the information about our programs, and it can be downloaded from our Website at neh.gov, making it significantly easier to apply for NEH grants. Now potential applicants to NEH, whether they are seasoned grantees or first-timers, can quickly find the grant programs best suited to their needs.

The publication of this single volume guide represents a significant savings to taxpayers because some 2 million pages of redundant printing have been eliminated.

WORLD WIDE WEB AND THE INTERNET

Our eighth initiative, and it is of growing importance to all of us here today, is the use of digital information technology and the World Wide Web to provide greater access to humanities resources. NEH's award-winning portal to the World Wide Web, EDSITEment, provides teachers, students and parents with access to 105 of the finest humanities Websites on the Internet. This project was funded exclusively with about \$1.7 million to date by the WorldCom Foundation.

Our Schools for a New Millennium program is integrating new electronic humanities materials into the classrooms. As Chairman Skeen well understands, one of the grants that we recently made through this program was to the Pueblo of Laguna Middle School in Laguna, New Mexico. This grant supports the study of Laguna culture, language, and history as well as comparative world mythology.

This past October, NEH placed a comprehensive directory of all of our programs and applications on our Website, allowing far greater public access to our programs.

And through a partnership with the Corporation for Public Broadcasting, we are now making Digital Parallel Production Grants to encourage filmmakers to integrate digital resources with television programs in the humanities.

There is an example of this work in the recent television production on Abraham Lincoln and Mary Lincoln. So viewers not only can enjoy the film, but they can go far more deeply into the subject through the Internet.

This past year, we awarded a special grant to the Savannah College of Art and Design to support "Virtual Historic Savannah." This project uses digital technology to document Savannah's historic district through a Website that allows visitors to travel through a virtual Savannah in any given year, from the founding of the city to the present, and to access topics such as slavery, the military, religion, and maritime history. We view this project as a national model and hope to see similar initiatives in other cities around the nation.

As NEH's on-line encyclopedias are completed, every State's rich history and culture will be available to everyone at the click of a mouse.

REDISCOVERING AMERICA

Ninth, our "Rediscovering America" initiatives are encouraging the appreciation of American history and culture. Over the next 5 years, NEH-supported regional centers will create significant new resources on our Nation's rich regional history and culture.

Through "My History is America's History," all Americans today can explore both their family history and the history of our Nation.

Our new initiative to catalog, preserve, and provide access to historic sound recordings will increasingly preserve these recordings for future generations.

STATE AND LOCAL INSTITUTIONS

And, finally, we have championed greater NEH support for State and local institutions.

Humanities councils in all 50 States, five territories, and the District of Columbia have been encouraged to apply for for our on-line encyclopedia initiative.

For the last 2 years, humanities councils in 14 States and Puerto Rico have received special funding under NEH's "Extending the Reach" initiative to expand access to our agency's grant programs. Funding for all of the State councils has increased over the past 2 years as a direct result of NEH's larger budgets. And each of our

10 regional humanities centers will work closely with the five States in their regions.

When I first appeared before this committee 3 short years ago, I expressed my hope that the "humanities" might one day become a household word for all Americans. It was my hope that every American might learn about the important work of the Endowment and that they would be better off for having this great agency working on their behalf.

We have made significant progress in pursuit of these goals. I am especially proud that there is now strong bipartisan support for NEH on Capitol Hill and among the American people. By approving our budget request for fiscal year 2002, you will make it possible for us to continue our efforts to bring the benefits of NEH to millions of Americans.

In closing, I would like to quote from Stephen Ambrose's introduction to our *Rediscovering America*: "For myself, I can't imagine living in America without NEH. The proper study of mankind is man. The National Endowment for the Humanities makes that study possible."

I ask your assistance as we continue this very important work. Thank you, sir.

Mr. SKEEN. Thank you, Doctor.

[The written statement of Mr. Ferris follows:]

NATIONAL ENDOWMENT FOR THE HUMANITIES

WASHINGTON, D.C. 20506



Testimony of William R. Ferris
Chairman, National Endowment for the Humanities
Before the Appropriations Subcommittee on Interior and Related Agencies
U. S. House of Representatives
April 4, 2001

Mr. Chairman and Members of the Committee:

I am deeply honored to appear before this committee as the Chairman of the National Endowment for the Humanities. I come before you today in support of the Administration's appropriation request of \$120,504,000 for fiscal year 2002. I look forward to working closely with Chairman Skeen, Congressman Dicks, individual members, and committee staff in pursuit of our common goal: to use the humanities to their greatest good in fostering among our citizens a deeper understanding of their cultural heritage.

We are eager to work closely with the Administration and with this committee to continue the agency's efforts on behalf of the American people. In particular, knowing that educational reform is a high priority of the President, in FY 2002 the Endowment will pursue with renewed vigor its ongoing efforts to improve the quality of teaching and learning in the humanities in the nation's schools and colleges. The Endowment's plans and priorities are also aligned with the President's interest in promoting community-building and in encouraging all citizens to advance their knowledge and understanding of the nation's history and culture. I know that these are also interests of members of this committee.

The Endowment will be able to accomplish many good things for the American people with the \$120.5 million we are requesting for the next fiscal year. This funding will allow us to continue to nourish humanities teaching and learning in the nation's schools and colleges; preserve and increase the availability of cultural and intellectual resources; provide opportunities for Americans to engage in lifelong learning in the humanities; foster humanities research and scholarship; and strengthen the institutional base of the humanities. Our FY 2002 budget will also enable us to strengthen our recent efforts to engage new voices and perspectives in the humanities. In short, with the funds we are requesting we will continue to bring creativity and fresh thinking to all our programs and endeavors.

Before outlining our plans for FY 2002, I would like to pause for a moment to consider the entire three-and-a-half decades of the agency's service to the American people. Indeed, it seems that at NEH the past, present, and future are always equally in our thoughts. I mention the past not only because the range and scope of our work encompasses the whole of human history, but also because we have recently taken stock

of the Endowment's own history as the federal government's premier source of support for the humanities. Our just-published retrospective, *Rediscovering America: Thirty-five Years of the National Endowment for the Humanities*, highlights numerous NEH-supported books, museum exhibitions, seminars for teachers, and documentary films that have provided the nation's citizens with significant new opportunities to deepen their understanding of the humanities. In his foreword to the book, Stephen Ambrose, the distinguished military historian and scholar of the Lewis and Clark expedition, reminds us why this work is important: "The humanities are about people," observes Mr. Ambrose, "where they came from. Who they are and how they got that way. Where they are going. The humanities are central to our understanding of ourselves and all other human beings." We can think of no more fitting way to describe the central role the humanities play in our lives.

We are grateful to Stephen Ambrose for his eloquent words. Over the decades, the importance of the Endowment's mission in support of the humanities has been similarly acknowledged by a broad range of Americans: by members of Congress, including, especially, members of this committee; by Presidents and their Administrations; by educators and scholars; by business and philanthropic leaders; by educational and cultural institutions and organizations; and, most importantly, by the American people.

As you can see, I am quite proud of the Endowment's record of achievement since our founding in 1965. My primary purpose in coming before you today is to describe the exciting work we are now doing and are planning to do in the coming year. Among the many notable NEH programs that benefit citizens all across the nation, I call your particular attention to the following:

- Regional Humanities Centers. Under this special competition NEH is funding the creation of regional centers where American traditions and cultures can be explored in the context of place. At each center, a wide array of activities will use the humanities to explore the region's distinctive culture. In the initial phase of the Regional Humanities Centers competition, which took place in the fall of 1999, NEH used \$1 million in funding raised from nonfederal sources to award 20 planning grants in ten regions. In FY 2002, we will begin the next phase of this initiative by awarding an implementation grant to a competitively selected institution in each region.
- Online encyclopedias on the history and culture of each state in the nation. NEH has recently established a new program of grants to support the creation of digital, online encyclopedias on the history and culture of each U.S. state, territory, and the District of Columbia. This program is being conducted in cooperation with the state humanities councils across the nation. Once these individual state encyclopedias are established and fully operational they will serve as invaluable reference works for students, teachers, and other citizens. I am pleased to report that we have just awarded planning grants to the first 18 states under this new grant opportunity. Planning grant applications from many other states are anticipated at the next

deadline in July. At our FY 2002 request level, we will begin awarding major implementation grants for these online encyclopedias

- Summer seminars and institutes for schoolteachers and college and university faculty. Our time-tested and widely acclaimed seminars and institutes help humanities teachers revitalize their knowledge and understanding of the subjects they teach. This summer's roster of NEH seminars and institutes covers a broad range of important topics, including "Journals of the Lewis and Clark Expedition: From the Pacific Ocean to St. Louis in 1806," "The Gothic Cathedral as a Mirror of Medieval Culture," "American Indian Literature and Narrative," and "Jamestown and the Formation of an American Culture." Teachers from all across the nation will be attending these and other sessions this summer.
- Great American books for the nation's public libraries. Last year the Endowment formed a partnership with the Carnegie Corporation of New York, The Library of America, and the American Library Association in a special grant program—Millennium Projects for Public Libraries—to help small and financially strapped public libraries enrich their core collections of American literature and history. Just last month we awarded 293 grants to public libraries across the nation, providing each institution with a 50-volume set of the most recent books published in *The Library of America* series. Some of the libraries across the country that will be receiving their collection of books include the Eunice Public Library and the Bosque Farms Public Library in New Mexico; the Jenkins County Memorial Library in Sylvania, Georgia, and the Ochoopee Regional Library System in Vidalia, Georgia; the Caviglia-Arivaca Library in Tucson, Arizona; and the Spencer Public Library in Spencer, New York. The smallest of these libraries will also receive additional NEH support to enable them to offer related educational programs in their communities. We hope to announce as many as 500 additional awards to public libraries early this summer.
- Extending the reach of NEH's programs and projects. As Chairman of NEH, it is my highest priority to bring the benefits of the humanities to every American. The central component of this effort is the series of recently established NEH outreach programs, collectively called *Extending the Reach*, that are encouraging grant applications from states, institutions, and communities that have neither participated in nor benefited as fully as others from Endowment programs and activities. The initiative consists of two types of grant opportunities: First, grants to states or jurisdictions that either have received relatively few awards in recent years or have low per capita funding from NEH; and second, grants to historically black colleges and universities, Hispanic-serving institutions, and tribal colleges and universities. To date, the Endowment has made over 200 grants and awarded more than \$2.7 million in grant funds in support of this effort.
- Innovative humanities projects employing new electronic technologies. In recent years NEH has been in the forefront of efforts to promote the use of digital technology in humanities education, public programming, and research. Our award-winning portal to the World Wide Web, *EDSITEment*, is providing teachers, students,

and parents with access to over one hundred of the best humanities resources on the Internet. Produced in cooperation with the WorldCom Foundation and the Council of the Great City Schools, the site now links users with more than 100 humanities websites on such diverse subjects as the Congress, George Washington, and Martin Luther King, Jr.—sites chosen for their outstanding intellectual quality, superior design, and classroom impact—and features a search engine, lesson plans, and in-class and take-home activities. Similarly, our Schools for a New Millennium program is helping teachers and schools become more proficient in using new electronic humanities materials. As Chairman Skeen is aware, one of the grants we have made through this program was awarded to the Pueblo of Laguna Middle School in Laguna, New Mexico. This grant will support studies in Laguna culture, language, and history, as well as comparative world mythology.

- Engaging and informative television and radio documentaries. Recent NEH-supported programs broadcast on public television and radio include Ken Burns's 19-hour *Jazz*, which dominated the public airwaves earlier this year; *Napoleon*, producer David Grubin's intriguing portrait of the French leader; *Scottsboro: An American Tragedy*, which was nominated for a 2001 Academy Award for Best Documentary Feature; *George Wallace: Settin' the Woods on Fire*, an award-winning account of the controversial former governor of Alabama; and the radio series *Lost and Found Sound: An American Record*, which won the George Foster Peabody Award, one of broadcasting's highest honors. NEH has also entered into a partnership with the Corporation for Public Broadcasting in support of an innovative program of "Digital Parallel Production Grants" that are encouraging filmmakers to use computer technology to design digitally enhanced television programs in the humanities.
- Explorations of family history. The Endowment's *My History is America's History* project is encouraging Americans to explore, document, and share their family histories and to consider how these histories fit into the larger American story. This project consists of a comprehensive guidebook, featuring practical advice on exploring family history, and a website, which is serving as a rich and dynamic resource for family historians and scholars alike. Each of the nation's more than 16,200 public libraries has received two copies of the guidebook. In addition, 85,000 copies have been distributed nationwide by state humanities councils, the Federation of Genealogical Societies, the National Council of Negro Women's Black Family Reunion, National History Day, 4-H Clubs, and other educational, youth, and citizen organizations.
- Research projects that advance our knowledge and understanding of the humanities: The Endowment provides the major source of support for advanced research and scholarship in the humanities. With this support our grantees are able to publish hundreds of books and articles that advance our understanding of the humanities, many of which have won Pulitzer Prizes and other prestigious national awards. NEH-supported projects are increasingly producing their results in electronic formats, such as interactive World Wide Web sites or searchable databases on CD-ROM. Such innovative applications of computer technology in humanities research will continue

to be encouraged through NEH's grant-making programs. In FY 2002, we also plan to re-establish a discrete grant category for scholarly editing projects, such as the collected papers of U.S. presidents and other significant historical and literary figures.

- Strengthened partnerships with the state humanities councils. With annual funding from NEH, the state humanities councils are able to provide high quality humanities programs to virtually every Congressional district throughout the nation. In recent years NEH has made a special effort to involve the 56 councils in the work of the Endowment. The new online state encyclopedias program was developed in partnership with the councils, with the councils being asked to take the lead in developing plans for each state's encyclopedia. Similarly, the Extending the Reach grant program that is targeted at the 15 states and jurisdictions was developed in consultation with the councils in the affected states. We view the Councils as essential agents in advancing the work of the humanities nationwide.

Almost all of the foregoing projects and programs are integral parts of our agency-wide *Rediscovering America* initiative, which is encouraging Americans to discover anew the nation's history and culture and preserve its rich heritage for the benefit of future generations. We believe the American people are well served by—and can take great pride in—these and other NEH-supported projects. With the cooperation of this committee, we hope to continue this tradition of excellence in FY 2002 and beyond.

Many of the projects I have just described benefit significantly from nonfederal funding leveraged through the Endowment's matching programs. Indeed, since NEH's inception, more than \$1.24 billion has been generated by our Challenge Grant program, which requires \$3 or \$4 in gifts for every NEH dollar awarded to a humanities institution. Another \$360 million has been raised in one-to-one matches for specific humanities projects supported by our other grant programs.

The budget justification we will submit to Congress next week describes in detail our plans for FY 2002. With funding of \$120.504 million, the agency will be able to support a broad array of grant activities, including a number of special emphases that address emerging needs and opportunities in the humanities. I would like to draw your particular attention to several key features of our request:

- Preserving the nation's recorded sound heritage. In FY 2002, the Endowment will encourage the development of projects to preserve and increase the accessibility of endangered sound recordings, particularly recordings of such music genres as folk, jazz, and the blues. For over a century, this music has been recorded on such unstable media as wax cylinders, aluminum disks, vinyl, and tape. NEH will encourage institutions to develop a range of projects designed to produce national cataloging standards, best practices for reformatting endangered materials, the education and training of persons responsible for the care of these collections, and the digitization of nationally significant collections.

- Digitizing historic U.S. newspapers. For more than two decades, the Endowment has spearheaded a state-by-state effort to locate and catalog all newspapers published in America since 1690. As part of this effort, 61 million pages of historically important newspaper pages have also been microfilmed, pages that would otherwise have been lost to the ravages of time. In FY 2002 NEH will offer support for projects that will convert microfilmed newspapers into digital files. These files will then be made freely accessible via the Internet to teachers, students, scholars, and other readers.
- Commemorating the Lewis and Clark expedition. In anticipation of the 2003 bicentennial of the Lewis and Clark expedition, in FY 2002 the Endowment's Public Programs division will support planning grants for regional projects that will explore the history and ramifications of the expedition. This effort will build upon previous awards to develop projects related to the expedition. NEH's grants will also complement the many bicentennial activities being planned by individual state humanities councils located in states along the route of the explorers.
- Assisting institutions in preserving and interpreting local history: In FY 2002, the NEH Challenge Grants program will encourage applications from institutions that play a central role in the preservation and interpretation of local history. The focus will be on smaller institutions that seek to strengthen their humanities resources in local history and to encourage new or increased donations from nonfederal sources.
- Strengthening teaching and learning in the humanities in the nation's schools and colleges: In addition to the traditional array of programs to enhance teaching and learning of the humanities among the nation's schools and colleges, the Endowment's core education programs will feature a number of special emphases in FY2002. Humanities Scholars in Residence grants, for example, will be provided to schools in *Extending the Reach* states to support visits by humanities scholars and master teachers. Humanities Teacher Leadership grants will encourage participants in summer seminars and institutes to disseminate the results of their work to other teachers and schools. And support will be provided for proposals to develop content-rich and engaging humanities materials for use in after school programs for young people.

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When I first appeared before this committee three short years ago, I expressed my hope that when my work at NEH was finished, the "humanities" would be an everyday word to millions of Americans. It was also my expressed desire that every American would learn of the important work of the Endowment and that they would come to believe that they are better off for having this important agency working on their behalf to advance the nation's educational and cultural well-being. As you can see by the projects and programs I have described in this testimony, we have made great progress in pursuit of these goals. Moreover, recent Congressional action in support of the agency suggests that there is strong bipartisan support for NEH on Capitol Hill and among the

American people. But I need your help to help sustain this important work. By approving our budget request for FY 2002, you will make it possible for us to continue our efforts to bring the benefits of NEH to millions of Americans.

As small as NEH is in comparison to most other agencies, it is still the single largest source of funding for the humanities in the United States. While I will continue to work actively to secure non-federal support for our programs and initiatives, we must not underestimate the critical nature of the federal role in helping the humanities grow and thrive throughout the United States.

In closing, I would like to return once again to the words of historian Stephen Ambrose, who has said: "For myself, I can't imagine living in America without NEH. The proper study of mankind is man. The National Endowment for the Humanities makes that study possible." I ask your assistance in helping us to continue this important work.

FACTS

NATIONAL ENDOWMENT FOR THE
HUMANITIES1100 Pennsylvania Ave., N.W.
Washington, D.C. 20506
<http://www.neh.gov>

WILLIAM R. FERRIS
Chairman, National Endowment for the Humanities

As an author, folklorist, filmmaker and academic administrator, William R. Ferris has compiled a distinguished record of achievement and leadership in the humanities during a career spanning nearly three decades.

Before becoming chairman of the National Endowment for the Humanities in November 1997, Dr. Ferris served for 18 years as founding director of the Center for the Study of Southern Culture at the University of Mississippi in Oxford. Under his leadership, the University of Mississippi developed the most comprehensive southern studies curriculum in the nation, and the center, with an interdisciplinary approach incorporating popular, folk, historical and literary subjects, attained national recognition as a model for regional studies centers. In 1993 the center was named a nongovernmental organization affiliated with the United Nations.

A professor of anthropology and a prolific author, Dr. Ferris spearheaded the creation of the best-selling *Encyclopedia of Southern Culture*, published in 1989. Containing entries on every aspect of southern culture and widely recognized as a major reference work linking popular, folk and academic cultures, the volume was nominated for a Pulitzer Prize. In Russia, eastern Europe and Australia it has been used as a tool for understanding cultural and social diversity.

Dr. Ferris's scholarship covers the fields of folklore, American literature, music and photography. Among his books are *Ray Lum's Tales of Horses, Mules, and Men* (1992), *Local Color* (1982), *Images of the South: Visits with Eudora Welty and Walker Evans* (1978) and *Blues from the Delta* (1970). His films include *Mississippi Blues* (1983), which was featured at the Cannes Film Festival. Among his sound recordings are *Highway 61 Blues: James 'Son' Thomas* (1983), *Bothered All the Time* (1983), *Genesis: The Beginnings of Rock* (1974) and *Blues from the Delta* (1970). He was a consultant to the 1985 movies *The Color Purple* and *Crossroads*, the latter about blues music, and for nearly a decade until 1994 he hosted *Highway 61*, a weekly blues music program that airs on Mississippi Public Radio.

Among the cultural programs Dr. Ferris has established at the Center for the Study of Southern Culture are the Oxford Conference for the Book, the annual Faulkner and Yoknapatawpha Conference, and conferences on Elvis Presley, civil rights and the law, and civil rights and the media. The center also sponsors seminars for teachers, educational tours of the South, traveling exhibitions and musical performances. Drawing on the world's largest blues archives at the University of Mississippi, the center reaches wide audiences with its magazine *Living Blues*. Research conducted at the center has resulted in a wide range of audio recordings, films, scholarly papers and books.

Dr. Ferris's honors include the presidentially bestowed Charles Frankel Prize in the Humanities, the American Library Association's Dartmouth Medal, the Mississippi Institute of Arts and Letters Award, and France's Chevalier and Officer in the Order of Arts and Letters. He has also been inducted into the Blues Hall of Fame.

Before coming to the Center for the Study of Southern Culture in 1979, Dr. Ferris taught at Yale University (1972-79) and at Jackson State University in Mississippi (1970-72). He has M.A. and Ph.D. degrees in folklore from the University of Pennsylvania, an M.A. in English literature from Northwestern University and a B.A. from Davidson College. Born in Vicksburg, Miss., in 1942, Dr. Ferris is married to Marcie Cohen Ferris.

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Mr. SKEEN. Mr. Kolbe.

Mr. KOLBE. No questions, Mr. Chairman.

Mr. SKEEN. Mr. Dicks.

HELPING HUMANITIES TEACHERS

Mr. DICKS. Dr. Ferris, I want to compliment you on your statement and particularly on the good work of the National Endowment for the Humanities. And as I mentioned, I for one think that I would like to see us do more for both of the National Endowments, because I think you utilize the money very effectively, and I think it benefits the American people and it also helps in our educational system.

One of the things you mentioned in your statement is the impact that the grants can have in helping our teachers. Could you tell us more about that?

Mr. FERRIS. Teaching is the heart of what we do, Mr. Dicks. It is where all of us start. None of us would be in this room without great teachers who gave us the vision and support to make what we have made of our lives. We are helping teachers at all levels—from K through 12 to colleges and universities—with special programs.

We are using technology in a significant way to deliver humanities programs to classroom teachers at every level, in every part of the Nation. This is particularly important in rural America and in inner-city schools where the resources are limited, where there are no museums and major libraries.

Now those communities and their classrooms can visit the websites of the Library of Congress, the Smithsonian, and NEH and have on-line access to rich educational programs. And, increasingly, they will access their own State's legacy through the NEH-supported on-line encyclopedias. We are partnering with public and private organizations at every level, both in and outside the classroom, with education as the core of what we do at our agency.

USES OF INCREASED FUNDING

Mr. DICKS. Now, this year the new administration has said that they want to keep the funding for the Endowments at last year's level. And, of course, last year we had a modest increase. If Congress in its wisdom decided to increase this budget, what would be your top priorities? What would be the things you would do if we had an additional \$5 million, \$10 million for the Endowment?

Mr. FERRIS. Well, first of all, we would thank Congress, and then we would move that support throughout the agency. I would remind my distinguished colleagues here that we can only fund roughly one-half of the highly recommended projects that should be funded within our agency. This is denying support for classroom teachers, for librarians, for scholars who are moving new research forward that will in a decade or two be redefining classroom teaching of American history—how well we understand George Washington and Martin Luther King, for example. NEH-supported scholarship, a decade or so later, becomes part of the everyday curriculum of school children throughout the Nation, and NEH helps that to happen too.

Mr. DICKS. You mentioned the use of the Internet and the various topics that are covered in the area of the humanities on the Internet. What kind of utilization do they get? Do you know? Do you have any idea?

EXPANDING ACCESS VIA DIGITAL TECHNOLOGY

Mr. FERRIS. Yes, I can provide the figures for you. With our EDSITEment program, I can tell you it is a steadily growing usage. On Sunday night, there is a spike of usage, as teachers are preparing for the classroom Monday morning, they are going on-line and developing their curriculum and students in preparing for their courses are also using the the EDSITEment site.

The central issue to the future of humanities, to my mind, is access. And thankfully, the Internet allows very inexpensive access to massive humanities resources. So we are stretching every penny you give us to the limit, and we are harnessing this technology in ways that are going to make our Nation far richer in the future.

Mr. DICKS. And it gets access to children in ways that you just couldn't conceive of 10 years ago.

Mr. FERRIS. And the children are more comfortable with it than their teachers. Part of our problem is teaching the teachers, not only the subject areas and the content that they use, but also making them comfortable with use of the Internet within the class. These are two significant needs that our Nation increasingly will face as it has growing teacher shortages and teachers who are inadequately trained to teach the subjects that they are teaching. And NEH has worked in this area with significant support for model programs that we hope to expand in the future.

Mr. DICKS. Well, again, I want to thank you for your efforts. I think you have done a tremendous job at the Endowment for the Humanities. I congratulate you on your good work.

Mr. FERRIS. Thank you.

Mr. DICKS. Thank you, Mr. Chairman.

Mr. SKEEN. He said it just exactly right. We owe you a great debt because you have done this the right way. Now all we can do is keep funding it.

Mr. Hinchey.

REMARKS OF MR. HINCHEY

Mr. HINCHEY. Thank you very much, Mr. Chairman. And thank you, Mr. Ferris, for your testimony and for your service heading up the National Endowment for the Humanities.

Frankly, when President Clinton appointed you to that position, there were some people who were a bit skeptical about how you would approach this task. Some of them thought that you would bring a bit too much Dogpatch and not enough sophistication to the National Endowment for the Humanities. But how wrong they were.

Mr. FERRIS. Thank you.

Mr. HINCHEY. You have done just a terrific job. And I think that among the many achievements that will go down for you in your tenure, which I hope lasts a long time, will be the way that you have been able to blend in all of the myriad aspects of American

culture. And I guess it is probably your training as an anthropologist that has enabled you to be so insightful about so much of American culture and the way you have been able to blend it in and make it meaningful for many, many people around the country who haven't had an opportunity to be exposed to much of it before.

I am particularly interested in your 10 regional centers and your attempt to protect and preserve the shrinking aspects of American culture and its regional diversity. I think that what we have seen over the course of our lifetime is the homogenization of American culture. And any efforts to protect and preserve the regional differences that remain is something that we ought to encourage as much as possible.

How far along are you in that, and what are you doing exactly, and what do you anticipate in the immediate future in that regard?

REGIONAL HUMANITIES CENTERS

Mr. FERRIS. Well, these planning grants are moving forward very briskly. And this is a new vision of a university, which, rather than closing itself within an ivory tower, is reaching out to an infrastructure of education and cultural institutions throughout a five-State area. And that's just what they are doing. They are meeting with community colleagues, with religious groups, with civic groups, and they are creating a new coalition. These are groups that normally don't speak to each other. They talk within their particular fields. And many hands make light work.

Together they are going to bore down and understand far more deeply the history of each region, of families, of communities, and it will add a whole new element of education and culture that our Nation desperately needs. Because as you point out, the homogenization of America is moving forward at an increasing rate, and if we don't take these steps, we are in danger of losing our memory of who we are as a people.

ORAL HISTORY

Mr. HINCHEY. Exactly. Are you doing much with oral history recordings?

Mr. FERRIS. We are. Oral history recordings are very important. As a folklorist, I often tell my students the African proverb that "When an old man or woman dies, a library burns to the ground." I think that underscores the urgency of recording oral tradition. Books are wonderful, our libraries are rich repositories of knowledge, but they complement and certainly do not replace the voice of your parents and grandparents, of elders in the community describing their memory of World War II or the Great Depression. We are in danger of losing these living libraries if we don't use oral history in ways that the regional centers will be a significant force for.

Mr. HINCHEY. Are you working with universities in that regard as well?

Mr. FERRIS. These are all university-based institutions, and they are essentially building on outstanding programs that are already in place. Some of these have been studying their regions for decades. So we are simply going to allow them to raise—Alex Haley used to use the phrase: "Find the good and praise it."—and that's

what we have done. We have found outstanding programs in each region, and we are helping them leverage significant private dollars to match what will be significant congressional support as well. So it is a strong public/private partnership that will redefine the intellectual and cultural landscape of America.

ENCOURAGING PRIVATE SUPPORT

Mr. HINCHEY. And I notice that some of the most creative things you are doing, some of the most interesting in some ways, come about as a result of private funding.

Mr. FERRIS. Absolutely. I have been involved in fund-raising all my career as a folklorist. And I didn't expect that to be part of my job when I came here, but I am happy to assume that role, because to do good work we need private sector support. And I think it is a wonderful partnership because congressional leaders feel good when they can see the WorldCom Foundation and the Knight Foundation. Many of these major players who are significantly invested in our Nation's culture and our history and our future want to partner with Congress and feel that we have a common vision, and the humanities are the core of that vision.

Mr. HINCHEY. Does the private funding in any way compromise what you would like to do? Does it impede your creativity or limit your freedom in any respects? Have you found that to be true in any case?

Mr. FERRIS. Not at all. We really find that, in some ways, we learn from the corporate and private sector because their knowledge of communications and technology is often far more sophisticated than what we have been doing. So when you deal with a firm like WorldCom—they are hosting the Website for EDSITement—they are, in fact, printing out the beautiful publications, posters, and helping move these into the classroom. So it is a perfect partnership, and we could not begin to do what we are doing with that Website and its teacher programs without their involvement, not only in giving dollars but in helping with their technology knowledge as well.

Mr. HINCHEY. Well, I just want to once again thank you for the job that you have done. I think that the Nation owes a debt of gratitude to you, to Mr. Ivey, and to your predecessors—

Mr. FERRIS. Thank you.

FUNDING

Mr. HINCHEY [continuing]. In each and every case for the excellent work that you have done at NEH and at NEA in protecting and preserving American culture and giving young people the opportunity to participate in it in more meaningful ways.

Now, there are some agencies that are funded by this government that waste more money than you are given in your entire budget. And I think that the level of funding, frankly, is a bit of a disgrace to America, that we haven't recognized the real value of NEA and NEH. No matter what anybody says, the way we recognize value in this country is by the way we fund it, the way we pay attention to it, the way we apply resources to it.

And I hope that this Congress will increasingly recognize the value in doing that, and we will be able to increase your budget,

because I know that the return will be much greater for all of the people that we represent in our constituencies across the country. I thank you very much.

Mr. FERRIS. Thank you, sir. I would just like, in response to your final point, to say that as part of our 35th anniversary, we are honoring all of our former chairs, all of our congressional leaders, current and former, and all of our awardees and speakers who have been part of our legacy. In June, there will be a special ceremony at the Library of Congress, and you will all be included in that as a way of looking back on 35 years of extraordinary work. And this book represents and reflects that.

We also have four working papers that include a timeline that shows, under each of the Chairs of NEH, very significant work has gone on. Under each of the Presidential and Congressional leadership, this work has been there for the American people. This timeline is on our Website. This event is going to be an elegant historic moment for all of us, and we hope all of you can join us.

Mr. SKEEN. We would like to be there, and we think you are doing a fine job.

Mr. Moran.

STATEMENT OF MR. MORAN

Mr. MORAN. Thank you, Mr. Chairman.

Chairman Ferris, nice to see you, and thank you for the opportunities you have presented for the Members of Congress and to the Washington area to enjoy the humanities productions that you have contributed to and put together.

The Pentagon has certainly figured out that by putting a defense contractor or a depot or a weapons manufacturer or something in every single district in the country, that they are pretty well insured from any budget-cutting measures. And obviously it has worked. That is one of the reasons certainly that the defense budget is more than all the other nondefense domestic discretionary programs combined.

But in respect to NEH and NEA, too, for that matter, you have had the same pressure to do something in virtually every district in the country. The problem is that the money is not sufficient to take advantage of that to a great degree, and I am concerned that you are really spreading yourself thin.

We look at the macrobudget. But in looking at the individual projects, I can't imagine but that they are not forced to be even less each year, particularly given inflation, than they have in the past.

And so while you may give some money to meritorious projects, you are not given a whole lot of money, and it may not be enough to fully exploit the artistic excellence that you have identified.

And so I would like for you to address what it has meant to try to meet this congressional demand for what we would call "equitability" among all the parts of the country. But it is really spreading you much thinner than had been the case before this pressure. Can you address that? What are your individual project grant levels?

WORLD HISTORY

Mr. FERRIS. Yes, sir. I think, in many ways, we can have our cake and eat it, too, because of technology. We can invest, say, half a million dollars to build a major Website, for example. We have invested about \$300,000 to create a new Website on world history. World history is being mandated in schools across the Nation, but very few teachers are trained in it. So we are going to spend what for us is a significant investment to create this Website. But once it is created, it is available at every classroom in the Nation.

Mr. MORAN. What is that Website?

Mr. FERRIS. It is not done yet. It is being put together. But we will send you the details on it. This is a special initiative to address a deep need. And one of our working groups within the agency looking at international programs pointed out that access to excellent curricular materials on world history was a critical need in classrooms. We responded by vetting a variety of proposals and choosing what we felt was the best one. Now, that is an example of how selective investment in one project, a model project through the Internet, will be shared with every classroom.

PRIVATE FUNDING

The NEH Millennium Libraries Program, which is going to reach out to 800 libraries, did not use a single Federal dollar. It is essentially funded entirely from the Carnegie Corporation. And as I said earlier, I am very comfortable with raising private support. Through our Enterprise Office, we are making increasingly encouraging calls on corporate leaders, private foundations, and individual donors. I think it is safe to say that, over the next few months, we will see additional gifts from the private sector.

So, obviously, we can't fund every project in every place, but what we are doing is, through technology with on-line encyclopedias, through regional centers in each region, and through Websites, we are making the humanities accessible to everyone who has access to a computer, and that is a significant and growing number of Americans.

Mr. MORAN. You say you only fund half of the highly recommended projects that are requested. I think it would be useful to get a sampling of some of those projects that are not funded due to budgetary constraints.

Mr. FERRIS. We would be happy to do that. And they exist in every division. I mean, that's one of the sad parts of my job, is seeing highly qualified projects that are not funded, or underfunded, simply because of our budget restrictions.

Mr. MORAN. Thank you, Dr. Ferris.

Mr. FERRIS. Thank you, sir.

Mr. MORAN. Thanks, Mr. Chairman.

Mr. SKEEN. Mr. Kingston.

Mr. KINGSTON. Thank you, Mr. Chairman.

Let me ask you a couple of questions. You didn't mention your Character Education program. How is that going? I know you had time constraints, but what is happening with it?

Mr. FERRIS. I will have to get you more detail on that. I don't have information at hand, but I will be happy to share that with you. I don't think we have that in the materials that we brought. [The information follows:]

GEORGIA CENTER FOR CHARACTER EDUCATION

The Georgia Center for Character Education is a project of the Georgia Humanities Council in partnership with the Georgia Department of Education, with additional financial support from the Georgia Power Foundation. The Center serves as a resource to assist educators, school boards, school personnel, organizations, policy makers, parents, and communities in meeting the General Assembly's mandate for character education. The humanities are at the heart of the Center's work because they provide the historical and intellectual context for character education: they record the stories of people and societies throughout time, they have the power to engage the imagination, and they have the capacity to evoke understanding of the lives and experiences of others.

The Center collects and disseminates information on character education concepts, resources, and practices. It also welcomes partnerships with organizations and agencies in developing materials for Georgia educators. For example, working with PeachStar Educational Services of Georgia Public Broadcasting, the Center is producing teacher training videos featuring best practices in character education. The Center is also collaborating with Georgia Learning Connections in producing lesson plans for dissemination on a website. Through its Teacher Associates Program, the Center employs teachers on a project basis to consult with staff and develop resources for use by classroom teachers.

Because the Center recommends a comprehensive approach to character education, and because it recognizes that there is no single "one size fits all" approach for every community, it does not endorse any specific products, vendors, or agencies. Recognizing, however, that communities may wish to explore approaches based on specific curriculum products and other strategies, the Center maintains a broadly representative collection of books, articles, vendor-produced materials, information about programs currently in use in Georgia, and model lesson plans developed by Georgia educators.

Mr. KINGSTON. Okay. One reason I brought that up is for the committee to realize that some of the leveraging that you do is not just in terms of a private dollar match, but it is in terms of volunteer man-hours.

Mr. FERRIS. Yes.

DISPERSAL OF FUNDING

Mr. KINGSTON. And I know in that case that you do use lots of volunteers that get involved in it. But I would kind of like to know what is happening with that.

One of the situations which the NEH gets into is, even though there is a lot more you can do, there is a lot that also is done through State educational facilities, private industry private universities and so forth. I think it is always important to point out that while you are not able to do everything, there still is somebody in there doing some of these good things.

What is the approximate breakdown of your 120 million in terms of the allocation? Are there 3 categories, 10 categories, of major spending?

Mr. FERRIS. Well, we have 5 grant-making divisions. We have our Challenge Grants Office, for example, which leverages either 3 to 1 or 4 to 1 matches, usually to build an infrastructure, whether it is renovation of a historic building or to create an endowment for a professorship.

Then we have our Education Programs Division, which funds classroom teaching and educational Websites. Our Preservation

and Access Division helps preserve endangered collections and make them accessible to the public increasingly through the Internet.

Our Research Programs Division funds individual scholars to do seminal research in the humanities. That is really very significant. Many of the books produced by these scholars later win Pulitzer Prizes. I will submit for the record a list of all the awards that have been won in this past year. There were also 150 books that came to us this past year from scholars supported by our Research Division.

[The information follows:]

NATIONAL ENDOWMENT FOR THE HUMANITIES

Division of Research Programs

2000 Book Prize List

Academy of American Poets. Raiziss/de Palchi Book Prize for outstanding translation of modern Italian poetry.

Zanzotto, Andrea. *Peasants Wake for Fellini's Casanova and Other Poems.* Ed. And Trans. John P. Welle and Ruther Feldman. Urbana: University of Illinois, 1997.

American Academy of Religion. Award for Excellent in the Study of Religion.

Frankfurter, David. *Religion in Roman Egypt.* Princeton: Princeton University Press, 1998.

American Historical Association. Prize in Atlantic History.

Karen Ordahl Kupperman. *Indians and English: Facing Off in Early America.* Ithaca: Cornell University Press, 2000.

American Historical Association. Joan Kelly Memorial Prize for best work in women's history.

Thompson, Elizabeth. *Colonial Citizens: Republican rights, Paternal Privilege, and Gender in French Syria and Lebanon.* New York: Columbia University Press, 2000.

American Historical Association. Littleton-Griswold Prize for the best book on the history of the American law and society.

O'Brien, Gail Williams. *The Color of the Law; Race, Violence, and Justice in the Post-World War II South.* Chapel Hill: University of North Carolina Press, 1999.

American Historical Association. J. Russell Major Prize for best work in English on any aspect of French history.

Sherman, Daniel J. *The Construction of Memory in Interwar France.* Chicago: University of Chicago Press, 1999.

American Political Science Foundation, Ralph Bunch Award for best scholarly work in political science.

Marx, Anthony W. *Making Race and Nation: A Comparison of South Africa, the United States, and Brazil.* New York: Cambridge University Press, 1998.

American Society of Composers, Authors and Publishers, 2000 Deems Taylor Award.

Sherman, Tony. *Backbeat: Earl Palmer's Story.* Washington DC: Smithsonian Institution Press, 1999.

American Society for Hispanic Art Historical Studies. Eleanor Tufts Book Award.
Webster, Susan Verdi. *Art and Ritual in Golden-age Spain: Sevillian Confraternities and the Processional Sculpture of Holy Week.* Princeton: Princeton University Press, 1998.

American Sociological Association. Political Sociology Section, Distinguished Publication Award.

Amenta, Edwin. *Bold Relief: Institutional Politics and the Origins of Modern American Social Policy.* Princeton: Princeton University Press, 1998.

Association for Asian Studies. Arfanda Kentish Coomaraswamy Prize.

Viswanathan, Gauri. *Outside the Fold: Conversion, Modernity and Belief.* Princeton: Princeton University Press, 1998.

Columbia University. 2000 Bancroft Prize.

Merrell, James. *Into the American Woods: Negotiators on the Pennsylvania Frontier.* New York: W. W. Norton, 2000.

Historical Society of New Mexico. Ralph Emerson Twitchell Award for significant contribution to the field of history in the area of fine arts.

Cather, Willa. *Death Comes for the Archbishop.* Ed. Charles W. Mignon. Lincoln: University of Nebraska Press, 1999.

Medieval and Renaissance Drama Society. David Bevington Award for best new book in early drama studies.

Kipling, Gordon. *Enter the King: Theatre, Liturgy, and Ritual in the Medieval Civic Triumph.* Oxford: Clarendon Press, 1998.

Medieval Institute of Western Michigan University. Otto Grundler Prize for distinguished book in medieval studies.

Kipling, Gordon. *Enter the King: Theatre, Liturgy, and Ritual in the Medieval Civic Triumph.* Oxford: Clarendon Press, 1998.

Modern Language Association. James Russell Lowell Prize for outstanding literary study.

Campbell, Mary Baine. *Wonder and Science: Imagining Worlds in Early Modern Europe.* Ithaca: Cornell University Press, 1999.

Modern Language Association. Mina P. Shaughnessy Prize for outstanding work on the teaching of language, linguistics, rhetoric, and composition.

Canagarajah, A. Suresh. *Resisting Linguistic Imperialism in English Language Teaching.* New York: Oxford University Press, 1999.

Modern Language Association. Howard R. Marraro Prize and Aldo and Jeanne Scaglione Prize for outstanding scholarly work in Italian literary studies.

Brose, Margaret. *Leopardi Sublime*. Bologna: Re Enzo Editrice, 1998.

Canepa, Nancy L. *From Court to Forest: Giambattista Basile's Lo cunto de li cunti and the Birth of the Literary Fairy Tale*. Detroit: Wayne State University Press, 1999.

Pulitzer Prize for History.

Kennedy, David M. *Freedom From Fear: The American People in Depression and War, 1929-1945*. New York: Oxford University Press, 1999.

Pulitzer Prize for Biography.

Schiff, Stacy. *Vera (Mrs. Vladimir Nabokov)*. New York: Random House, 1999.

Society for the Study of Early Modern Women. Josephine A. Roberts Edition Award.

Hannay, Margaret P., Noel J. Kinnamon, and Michael G. Brennan, eds. *The Collected Works of Mary Sidney Herbert, Countess of Pembroke*. Two volumes. Oxford: Clarendon Press, 1998.

Urban History Association. Best Book in North American Urban History.

Schneirov, Richard. *Labor and Urban Politics: Class Conflict and the Origins of Modern Liberalism in Chicago*. Urbana: University of Illinois Press, 1998.

Mr. FERRIS. And our Federal-State partnership office works with the State humanities councils. I am especially interested in these State councils. We are moving model projects like our on-line encyclopedias forward to assist the state councils in special ways. So there are many facets to how the humanities operate. Our Public Programs Division also funds projects like the recent Ken Burns series on "Jazz."

LEVERAGING NONFEDERAL SUPPORT

Mr. KINGSTON. If you can give me, and I don't need it today, but maybe a breakdown of just the approximate, where the money goes and what the leverage for each category is, because some of it is leveraged, some of it isn't.

Mr. FERRIS. I can give you that right now. Federal-State partnership is \$30 million. You have what I have.

Mr. KINGSTON. Now I have it. And this is what I was looking for, although I don't see quite—let us, just on the education programs, what is the leverage on that? Where is that?

Mr. FERRIS. Well, leveraging in some cases for education programs comes from the Challenge grant program which essentially gives Challenge grants to institutions that are trying to create new or increased third-party support, either at secondary schools or the college level. But grants in our Education programs also include matching support, either in dollars or in-kind support. For example, the Laguna Pueblo Schools for the New Millennium grant requires cost-sharing from the grantee.

Another of our grants in our schools for a New Millennium Program is a World War II project at the Hogg Middle School in Houston, Texas. This is a beautiful publication that was produced by these kids down in Houston that was funded in part by NEH, by Rice University's Center for Technology in Teaching and Learning. In their case, they are partnered with Rice University. So, depending on the grant, there is always leveraging support that flows for that.

Mr. KINGSTON. Well, when you are making a grant decision, don't you consider the leverage?

Mr. FERRIS. We do consider that. There are many pieces: the qualifications of the people involved; obviously, the ability to realize the project.

The "Virtual Savannah" project in Savannah, Georgia, for example, is a very innovative project. We have not seen this kind of project before where you are using digital technology to virtually walk the streets of Savannah from the colonial period to the present. That project required a special mix of scholarship, of technology, and of delivery. We are looking at this as a model project to use as a way of creating similar projects in other cities.

Mr. KINGSTON. Does the Savannah College of Art Design match on that?

Mr. FERRIS. They will provide cost-sharing. And I have here now for the current year, \$517 million of matching funds available within the education division.

Mr. KINGSTON. \$517 million?

Mr. FERRIS. \$293,000. I am sorry.

Mr. KINGSTON. I may have misunderstood you.

Mr. FERRIS. No, you understood me right. I was mistaken.

Mr. KINGSTON. I was going to say it is a pretty good program.

Mr. FERRIS. That is dreaming.

Mr. KINGSTON. But that is what I am doing. I am trying to get an idea of, moving along with that, where you obviously want to go is to the areas that have the most matching dollars, or 2 for 1, or whatever it is. But then, you know, in that process, you would also want to make sure you are not ignoring the ones that are unable to do that. And you know, in that vein, that is what I was kind of moving towards.

Now, when you are deciding who gets money, I know that you have been criticized for being a little more political than other folks. Now, I certainly understand that politics can't be removed from politics. And a political organization, if not for your nimble ability to get around Washington, D.C., the NEH probably would have been cut \$7 million or more than that. And so I don't—I just kind of want to go on record—I certainly don't fault any—you know, I think somebody in your leadership position is damned if he does and damned if he doesn't. And I think that your investment in the political side of the equation has helped NEH survive a lot of its criticism.

And you know, we have to understand, and I think Mr. Dicks may have asked something, or maybe it was Mr. Moran, about—or it could have been Mr. Hinchey. If there is anybody else who wants to raise your hand, I will call your name. But he had said something in terms of the private sector limiting your ability to be flexible. Well, you know, that is what is going to happen when you are operating on other people's money anyhow. So you can't—I mean, if you are the Annenberg School of News, you can do whatever the heck you want, it is all your funds. But in NEH, you have to be a lot more sensitive.

So I just think that your efforts have been wise, and the criticism that you have received would have probably come. And, you know, again, the \$7 million I think is because of what you have done.

REGIONAL CENTERS

One other question. In terms of the regional centers, I am concerned that you are setting up centers that will become constituency groups, that will become lobbying groups; that in time we will say, now we have got these 10 centers in place, we need more money. Which no one in Washington would ever do something like that. But have you thought in terms of where those are going to head?

Mr. FERRIS. We have.

Mr. KINGSTON. You know, we don't really need to plant more seeds for larger bricks-and-mortar funding projects.

Mr. FERRIS. Let me stress, these are Challenge grants, and they are like all our Challenge grants for a project. Once the project is funded, then they are free standing and they have no further claim or responsibilities with this agency. They are within universities, and certainly these universities can and will apply for other NEH grants. But the regional centers will have no commitments, or there is no commitment to further funding once the Challenge grant is met.

It is the same as the virtual project in Savannah. They are creating a Website that will enrich Savannah's cultural traditions and history. That in no way precludes them from requesting more money, but it certainly doesn't guarantee they will get it.

Unlike our State humanities councils, these regional centers are simply projects within universities, but they are going to be very significant projects within those universities.

Mr. KINGSTON. We need to get you over to that Savannah site also. It is very interesting. The committee Members might be interested to know, but you could log into any site, any map location, from a flat standpoint, make it into a 3-D map, and then see what was going on there in 1750 or 1850 or whatever. It is really great research and development, and I think it would be the standard in the future in terms of historicals.

How much coordination do you do with libraries on your library—

NEH AND LIBRARIES

Mr. FERRIS. A great deal. One of our working papers here goes into great depths about libraries, pointing out something I didn't know, which is that there are more libraries in this country than McDonald's. And libraries are changing. The future library is going to be very different than the one we went to to check out books. It is going to be a community center where people gather for public discussions. It is going to be a technology center. And we are looking very closely about how we are to best invest our support within libraries.

We are also encouraging partnerships between public schools through our Schools for a New Millennium program. Grantees are partnering with libraries and museums, universities, so that they create coalitions. These are all part of the many hands that make light work within the humanities community.

Mr. KINGSTON. Do you do anything with talking books?

Mr. FERRIS. We do a lot with book projects, with literacy projects, and talking books certainly would be a part of that. We have projects that we have helped spread across the Nation—like motherread, where you have children teaching mothers to read, "Prime Time, Family Reading Time," and other prototype literacy projects that are essentially developed through our State humanities councils.

Mr. KINGSTON. Well, I appreciate it.

Mr. FERRIS. I would stress one thing. The regional humanities centers, because of the Challenge grant, will be funded with a full endowment. The idea is that almost all of this money will be put into an endowment. So that will essentially allow them to be self-sustaining from now on.

Mr. KINGSTON. I think that would be good. And maybe that is something we need to make sure happens by legislation or something like that; not to tie your hands, but just to make sure we are not creating that ongoing constituency for funding. Thank you very much.

Mr. FERRIS. Thank you, sir.

Mr. SKEEN. Dr. Ferris, thank you. You have done an outstanding job. We appreciate very much your informative testimony. And this hearing is now adjourned.

Mr. FERRIS. Thank you very much, sir.

Mr. SKEEN. You have done very well.

Mr. FERRIS. It is an honor to appear before you, and we are deeply grateful for the support of you and the rest of the members of this committee.

Mr. SKEEN. Well, you mentioned a lot of places in New Mexico, and we appreciate that.

Mr. FERRIS. That is a beautiful State.

Mr. SKEEN. The hearing is now adjourned.

Mr. KINGSTON. I bet he mentions even more next year, Mr. Chairman, for some reason.

[Questions for the record follow:]

NATIONAL ENDOWMENT FOR THE HUMANITIES

HOUSE INTERIOR APPROPRIATIONS SUBCOMMITTEE
HEARING QUESTIONS

FY 2002 Budget Request

Accomplishments

Question 1. Your four-year term will conclude in November of this year. What would you say has been your biggest accomplishment and what has been your biggest challenge? Would you be interested in serving a second term if the opportunity presents itself?

Answer. Over the course of my tenure as NEH Chairman, I have moved systematically and decisively to bring the benefits of the humanities to greater numbers of Americans. In pursuit of this goal we have:

- Launched a series of outreach programs, *Extending the Reach*, that are helping institutions, communities, and states that have neither participated in nor benefited fully from the Endowment's programs;
- Supported projects to create online encyclopedias for each state in the nation;
- Initiated the *My History is America's History* project that is helping Americans to explore their family's history and the nation's history;
- Begun an initiative to create Regional Humanities Centers throughout the country; and
- Promoted the use of innovative humanities projects that employ the new electronic technologies to make humanities resources more widely accessible to all Americans.

Among my most important accomplishments is the broadened base of support that I have helped build for the agency. In each of the last two years, the Endowment's budget has increased by \$5 million, the first such increases in many years. By approving these increases, legislators from both parties have demonstrated their approval of my new ideas and initiatives.

I would be honored to be nominated and confirmed for a second term as NEH Chairman. I would like to be able to complete my efforts to make the "humanities" an everyday word to millions of Americans.

Education

Question 2. Does the Federal Government have an integrated educational policy which explains the role of the NEH in helping develop teaching as well as supporting scholarship, preserving historic materials, and providing outreach to the public.

Answer. The Endowment's role in the federal education effort is defined by the National Foundation on the Arts and Humanities Act of 1965, by its Presidentially appointed National Council on the Humanities and by its chairman, and by thirty-five years of institutional practice.

The Endowment's policy-making and grant award procedures entail a variety of efforts to coordinate NEH activities with those of other agencies. As a result, we believe there is a remarkably efficient "division of labor" among federal actors in the field of education. To prevent redundancies in funding emphases and institutional structures, NEH staff routinely maintain lines of communication with other federal agencies that have a role in education, including with the Department of Education, the National Science Foundation, the National Endowment for the Arts, and the Library of Congress. To prevent individual instances of overlapping funding, the Endowment requires each grant applicant to specify all anticipated sources of support in a detailed project budget.

NEH programs uniquely support the integration of humanities scholarship with classroom teaching and with lifelong learning opportunities for the public. To the limited extent that the Endowment's programmatic priorities overlap with what other agencies do in the field of education, they reinforce, rather than duplicate, those efforts.

On a number of recent occasions, NEH has entered into formal partnership arrangements with one or more of its fellow agencies and with private foundations in order to collaborate on specific education projects. For example, in FY 2000 the Endowment contributed \$1 million, and the services of agency staff in reviewing grant proposals, to support the Digital Library Initiative, an interagency effort that is being directed by the National Science Foundation. We also remain alert to opportunities to pool NEH resources with those of private-sector funders in ways that make the most of the special capabilities of each. To cite just one example, in FY 2000 the Endowment secured a \$1 million gift from Carnegie Corporation of New York for the Millennium Project for Public Libraries, a partnership of NEH, the Library of America, and the American Library Association that is helping public libraries build their collection of American literature and history and expand opportunities for educational programs within their communities.

Question 3. What portion of the NEH education efforts are aimed at elementary, secondary, college, or post-graduate education? Your budget justification states that the NEH supports the leading faculty development programs in the humanities. To what extent do elementary, secondary, and college teachers depend on the NEH for training?

Answer. NEH devotes a significant portion of its resources toward improving humanities education at all levels, as the promotion of teaching and lifelong learning is a core attribute of the agency's mission. NEH is the only Federal agency that provides significant and reliable support for educators through programs that are rooted in the content of the humanities. Teachers and professors routinely look to NEH for opportunities for sustained study of the subjects they teach.

In FY 2000, NEH awarded approximately \$8.1 million to elementary and secondary education and \$6.7 million to higher education, of which \$300 thousand supported graduate education specifically. As a result of these grants, nearly 1,000 school and college teachers of the humanities will participate in seminars and institutes during the summer of 2001, reaching approximately 150,000 students. Educators will also benefit from the Endowment's Humanities Focus Grants, which enable small groups of school or post-secondary teachers to study together and, if they are school teachers, to collaborate with a nearby college or university.

An additional \$13.0 million awarded by NEH's Research division supported post-doctoral fellowships and faculty research, most of it university-based. And our Challenge Grants program awarded \$1.1 million to endow fellowship programs and another \$3.0 million to colleges, universities, research centers, and research libraries for a variety of purposes directly related to higher education and research. Finally, \$20.7 million in NEH grants supported archival preservation and access and the creation of research tools such as dictionaries and bibliographies—all activities that facilitate university-based scholarship and teaching.

Of course, other federal and non-federal education programs are available to the nation's teachers each year. But these tend to differ in breadth and depth from NEH-supported seminars and institutes, which are conducted during four to six summer weeks at a leading university. Nor are there many opportunities available to teachers during the school year to undertake the kind of collegial, content-based study that Humanities Focus Grants support. Over the years, more than 54,000 school and college teachers have attended NEH summer study programs and have returned to the classroom with a deeper understanding of the subjects they teach and a reinvigorated sense of their scholarly vocation.

Question 4. What proportion of classes and teaching load are, in general, comprised of the humanities at the elementary, secondary, and collegiate levels?

Answer. In grades 1-4 of public elementary schools. 63% of the core curriculum, as measured in teaching hours per week, is devoted to humanities-related subjects: English/

reading/language arts and history/social studies. In public high schools, more than one-half (55%) of the core curriculum, as measured in courses taught, consists of English and history/social studies. Furthermore, teachers of English, history/social studies, foreign languages, art, and music, account for 50% of all public high school teachers.

At the collegiate level, the humanities' proportion of the curriculum is more difficult to measure. We know that full-time instructors of English and literature, foreign languages, history, and philosophy together constitute 14% of all higher education faculty, and that about 10% of all bachelor's degrees conferred are in humanities subjects. But we do not have reliable information on the proportion of all course enrollments that the humanities account for. We firmly believe that the humanities' percentage of course enrollments is considerably higher than the proportion of humanities degrees conferred, as most colleges' general education requirements include a strong humanities component.

Question 5. We hear a lot of good things about the humanities seminars and institutes for school and college teachers. What is the level of funding and service in this area in the request? How does this compare to the FY 2001 levels?

Answer. At our FY 2002 request level we plan to support 26 seminars and institutes for school teachers, 40 Humanities Teacher Leadership awards (small dissemination awards for teacher participants), and 26 seminars and institutes for college teachers at a total cost of \$6.6 million.

In FY 2001, we expect to support 30 seminars and institutes for school teachers, 23 Humanities Leadership awards, and 24 seminars and institutes for college teachers for a total cost of \$6.7 million.

Question 6. The Congress is interested in programs which effectively and efficiently help improve teacher retention and encourage career development while leading to teaching excellence. Do the NEH programs play a role in developing elementary and secondary teaching?

Answer. In FY 2000, the NEH spent more than \$8 million on programs to improve the quality of humanities education in the schools. Among these programs are NEH Seminars and Institutes, in which approximately 500 school teachers participate each year. In the company of leading scholars, these teachers engage in a sustained and intensive study of topics related to the subjects they teach. Seminar and institute participants are accorded the respect they deserve as professionals, receiving stipends to cover the costs of room and board, books, and transportation. A school teacher from Albuquerque who attended an NEH seminar in 1998 testified to its impact on her teaching and her career:

“This seminar has been one of the most rewarding experiences of my life...As an English teacher, I will use this seminar in my classroom frequently as background for many of the books I teach and as a model for a particular way of looking at literature.

This seminar has also affected my scholarship in that it has caused me to decide to continue my studies in English literature and pursue a Ph.D. It has also caused me to decide to continue as a high school English teacher, a career I had pretty much decided to end in the next year or so.”

A number of teachers who have participated in NEH projects have become leaders in the profession:

- *Phyllis Farrar*, who teaches at West Junior High in Lawrence, Kansas, participated in a Schools for a New Millennium project. She was named the 2000 Association for Teachers of German National German Teacher of the Year for grades K-8.
- *Mary D. Hubbard*, an English teacher at Mountain Brook High School in Birmingham, Alabama, who has attended several NEH programs, was recently appointed to the National Council for the Humanities. Last year, she received the biennial "Teacher of Merit Award" from the Alabama Association of Historians.

Finally, a new NEH grant program -- Humanities Teacher Leadership awards -- enables teachers who have participated in NEH summer programs to extend the impact of these projects by conducting follow-up and dissemination activities in their school districts and beyond.

Question 7. Please tell us more about your efforts to help schools, teachers, and students use digital materials. What impact is this effort having?

Answer. The Endowment is supporting a number of projects to help teachers and students make the best use of digital materials. The NEH-supported “EDSITEment” project, a nationally recognized gateway to more than one hundred websites selected for their outstanding intellectual quality, superior design, and potential classroom impact, is helping teachers integrate Internet resources into their humanities curricula. EDSITEment also provides classroom materials for teachers, simple directions for those unfamiliar with the Internet, and some general guidelines for using Internet educational resources.

The 34 planning grants and 21 implementation grants we have made as part of our “Schools for a New Millennium” initiative are similarly helping teachers incorporate digital technology into their teaching of humanities subjects. Awards are enabling schools to implement a comprehensive plan of professional development that links new knowledge of content and pedagogy in technologically sophisticated ways.

“My History is America's History,” the Endowment's online family history project, is also serving as a digital resource for teachers and students. The “My History” website provides suggestions of Internet resources to help teachers link personal family stories to the public histories of the community, region, and nation. The website has had 3 million hits since its launch in November 1999.

In addition to these specific initiatives, NEH has supported a variety of projects in the Endowment's regular grant-making programs that show promise of helping educators and students gain access to content-rich digital resources. Across all of our programs we are stressing the development of websites and other digital applications that will serve to make humanities resources more widely accessible to teachers, students, scholars, and the public.

Question 8. What sort of impact has your portal website "EDSITEment" had so far? How is this effort being funded? What are you doing to ensure that the website is maintained and enhanced?

Answer. The Endowment's one-stop web resource for humanities teachers and students, EDSITEment, now comprises 105 websites selected for their content, design, and likely impact in the classroom. They cover a wide range of humanities subjects, from American history to literature, world history and culture, language, art, and archaeology, and have been judged by humanities specialists to be of high intellectual quality. EDSITEment also includes 70 extensive lesson plans that provide K-12 learning activities linked to the top humanities websites. In FY 2002, NEH will be making further enhancements to this website by providing more classroom activities and by adding an evaluation component to each lesson that is linked to pertinent state standards of learning.

EDSITEment is a part of WorldCom's "MarcoPolo" metasite, which includes K-12 sites in science, the arts, mathematics, geography, and economics, as well as the humanities. The MarcoPolo project provides on-site training in technology at no cost to states, school districts, and individual schools.

EDSITEment was launched in 1997 through an innovative public-private partnership involving the NEH, WorldCom, the National Trust for the Humanities, and the Council of the Great City Schools. WorldCom has contributed \$1 million in support for this project to date. In FY 2001, the WorldCom Foundation has just pledged another \$700,000 that will support the costs of maintaining and enhancing the website during the next three years.

EDSITEment was selected as one of five finalists in the Education and Academia category of the Smithsonian Institution's Computerworld award. As a finalist, the EDSITEment website has been accepted into the Smithsonian Institution's Permanent Research Collection of Information Technology.

Question 9. What is NEH doing to encourage Americans in and out of school to take an interest in American history?

Answer. American history is the focus of a wide variety of NEH-supported projects. "My History is America's History," the Endowment's online family history project, uses the appeal of family history to interest people of all ages in exploring the connections

between personal family stories and the histories of the community, region, and nation. The website incorporates activities for families to pursue at home as well as lesson plans for teachers in order to make family history part of every child's learning experience.

Endowment grants strengthen teaching and learning of American history in the nation's schools and colleges. Providing opportunities for teachers at all levels to advance their knowledge of the subjects they teach, NEH summer seminars and institutes have been offered on significant topics in American history, such as the Lewis and Clark expedition, the history of American industrial cities, the Civil Rights Movement, and the development of the West.

Many of NEH's "Schools for a New Millennium" projects are similarly focused on the history of the regions in which their schools are located: for example, the history of Civil Rights in Memphis; the waves of immigration in Beaufort, South Carolina; or the Native American and European populations of Sault Ste. Marie in Michigan's upper peninsula.

Endowment support has led to the development of exemplary digitized resources for the teaching and learning of history, such as "The Valley of the Shadow," a website that uses primary materials such as census data, military records, newspapers, and personal letters to illuminate the history of two communities, separated by only a few hundred miles but divided by the Civil War. The award-winning website, EDSITEment, provides teachers, students, and parents with access to over one hundred of the best humanities resources on the Internet, selected by peer review panels for their excellent humanities content, interactive design, and usefulness in the classroom. Over one third of the websites provide resources for the study of American history, such as the NEH-supported "Oyez, Oyez, Oyez: Supreme Court WWW Resource."

NEH-supported films, such as *The Civil War*, *The West*, *Eleanor Roosevelt*, *Baseball*, and *Jazz* have drawn new viewers to historical documentaries. Producers of humanities films are working with digital technology teams to design creative ways to extend and deepen the viewer's experience. For example, the NEH-supported *Woodrow Wilson and the Birth of the American Century* from KCET in Los Angeles will be accompanied by digital enhancements that will provide new options for interactive learning.

Reading and discussion programs at libraries provide public audiences opportunities to discuss issues in American history with scholars in the field. For example, at 120 libraries throughout the United States, local audiences participated in "From Rosie to Roosevelt: A Film History of Americans in World War II," a series of six scholar-led video/reading discussion programs that consider the political, military, and social history of America's involvement in World War II. In addition, a large number of award-winning books that appeal to wide audiences have resulted from research supported by NEH fellowships. For example, NEH fellow Mike Wallace collaborated with Edwin G. Burrows to write *Gotham: A History of New York City to 1898*, the winner of the 1999 Pulitzer Prize in History.

NEH-supported exhibitions in libraries and museums bring American history alive in local communities. For example, "The Great Experiment: George Washington and the American Republic," an exhibition about George Washington and the people of the new American republic, is currently traveling to 40 libraries, augmented by curriculum guides, an interpretive catalog, and brochures. At the Atlanta History Center, visitors can learn about the history of Atlanta through the exhibition, "Metropolitan Frontiers: Atlanta, 1835-2000," and related and public programs. The Dubuque County Historical Society in Dubuque, Iowa, recently received a grant to create an exhibition, living history presentations, an outdoor boat-building demonstration, and public and educational programs about man's relationship with the Mississippi River. Museums now also use computer technology to extend their reach beyond their local communities. The Henry Ford Museum & Greenfield Village, for example, has an extensive website to accompany "Your Place in Time: 20th Century America," an exhibition that explores the interplay between people and technology by looking at the lives of five generations that came of age in the twentieth century. The website features educational materials for middle and high school teachers and moderated online discussion forums about the exhibition.

Funding Priorities

Question 10. Your budget request calls for level funding, with no major shuffling of your existing priorities. Are you able to fund all that you would like to at the request level? What would you be able to do with a modest increase in funding?

Answer. We support the Administration's FY 2002 budget request for the Endowment. Level funding would allow us to continue our many efforts to advance education, preservation, research, and public programming in the humanities for the benefit of the American people. Our budget request fashions an active agenda for the agency, one that will bring the humanities to more of the nation's citizens. This said, because of budgetary constraints we are not able to fund all of the highly recommended applications we receive each year. Each year we must deny funding to roughly one-half of the project applications that receive exemplary evaluations in our multi-stage review system.

If Congress were to provide a modest increase in our FY 2002 budget, we would first consult with the Administration about where any increase should be allocated. We would also want to meet with members of our House and Senate appropriations subcommittees to determine their interests and priorities.

Question 11. What is NEH doing to encourage private support for projects in the humanities? Do your successes lessen the need for federal funding?

Answer: The Endowment has two primary means of encouraging private support for the humanities: (1) NEH Challenge Grants, which are awarded to support endowments and other long-term institutional needs, and which leverage \$3 or \$4 in third-party contributions for each dollar of NEH funding; and (2) the Endowment's Treasury appropriation, which is used to fund gift-and-matching grants in support of discrete

humanities projects. Project matching grants raise \$1 of third-party contributions for each federal dollar and are usually awarded in conjunction with outright funding to get the project activities under way while fund-raising proceeds.

Challenge and Treasury matching grants have proven to be a highly effective means of leveraging private support for the humanities. Since the agency's inception, NEH matching grants have generated \$1.64 billion in total gifts from third party sources, including \$1.28 billion contributed for endowment and other institutional support in response to Challenge Grants and \$359 million in project matching. These figures are exclusive of cost sharing by our grantees.

Our successes notwithstanding, there are some humanities projects for which it is unrealistic to expect a significant nonfederal contribution – those undertaken by small institutions, for example, or those conducted by individual scholars. Such projects cannot realistically be expected to mount additional fund raising efforts to attract third-party contributors. NEH Challenge and matching grants are awarded only in those cases where, in the judgment of review panelists and program staff, fund-raising is likely to be successful and will not interfere with the progress of the humanities activities for which support is being sought. In FY 2000, NEH obligated \$100 million in grants, of which only 15.3 % were awarded on a matching basis. Clearly, then, there remains a need for a substantial federal investment in the humanities programs we fund.

The Endowment does not just encourage its grant recipients to raise private funds. NEH is also pursuing partnerships with other institutions and organizations to advance the humanities and to supplement the federal funds Congress provides to the agency. The Endowment's Office of Enterprise, which coordinates these efforts, recently achieved a number of notable successes, including the following:

- Securing a gift of \$2.5 million for the regional centers initiative from the John S. and James L. Knight Foundation.
- Securing a \$1 million grant from Carnegie Corporation of New York for the Millennium Project for Public Libraries. These funds are supporting a partnership among NEH, the Library of America, and the American Library Association that will help public libraries build their collection of American literature and history and expand opportunities for educational programs within their communities.
- Obtaining a renewed commitment, totaling \$700,000, from the WorldCom Foundation to fund an additional three years of EDSITEment, the agency's portal to humanities resources on the web for teachers and students.
- Securing a renewed commitment of \$50,000 from the Geraldine R Dodge Foundation to support a model program in New Jersey public schools designed to improve humanities courses through institution-wide curricular planning, professional development activities, and local educational activities organized by teachers who attend NEH summer seminars and institutes.

- Working with "My History Is America's History" partners – including such organizations as the Federation of Genealogical Societies, the National Council of Negro Women's Black Family Reunion, National History Day, the Community College Humanities Association, 4-H clubs, state humanities councils, and other genealogical, educational, youth, and citizen organizations – to distribute 85,000 guidebooks throughout the nation in addition to providing two copies each to the nation's 16, 227 public libraries.
- Coordinating a partnership of NEH, the Historical Society of Washington, D.C., the D.C. Heritage Tourism Coalition, the Washington Convention Center, and the Washington Metropolitan Area Transit Authority, that in 2000 resulted in the creation and distribution of 200,000 copies of a "D.C. Beyond the Monuments" walking-tour map featuring nine historic Washington neighborhoods.

What these successful efforts yield, nevertheless, is small in comparison with the need for support for humanities research, education, and public outreach projects. Private sources of funds for humanities research and education—largely philanthropic foundations—can only serve to augment public funding in limited areas of activity. In fact, some foundations that once supported the humanities have shifted their priorities to other agendas, such as economic development, health and human services, scientific research, or research in the social sciences and policy studies. Consequently, federal support for the humanities remains essential in order to foster significant research, education, and public programs in the humanities throughout the nation; strengthen institutional resources; open opportunities for assistance to all potential applicants; and continue to stimulate private support.

Question 12. Last year you received an increase of about \$5 million. What was done with this increase?

Answer. [Note: As a result of the government-wide 0.22 % rescission in FY 2001 funding that was enacted in December 2000, the Endowment's funding increase totaled only \$4.735 million.] Congress allocated the \$5 million to specific NEH grant divisions and offices. The largest segment of the new funds—\$1.433 million—were allocated to the Federal/State Partnership office in support of the individual state humanities councils that operate in all fifty states, the District of Columbia, Puerto Rico, and U.S. territories. Other increases for our major program accounts included the Division of Education Programs, \$373,000; the Division of Public Programs, \$972,000; the Division of Research Programs, \$972,000; the Regional Humanities Centers program, \$389,000; and the Office of Challenge Grants, \$177,000. This additional funding has enabled us to support a number of additional high quality humanities projects across the agency and to pursue some new initiatives that will benefit the American people. Congress also provided extra funds for the agency's administrative account to help support increased costs in this area.

Question 13. In last year's budget you proposed a major new initiative in support of folklore projects. What's become of this effort? How will any folklore initiatives you are planning for FY 2002 fit in your overall budget?

Answer: The NEH folklore initiative is exploring new directions for folklore support, building upon a foundation extending throughout the agency's history. It is a year long project that began in August 2000. The initiative is researching past patterns of support, disseminating information about current funding opportunities, and developing recommendations designed to shape a national leadership role for NEH in fostering the living cultural heritage for folklore. To the extent such recommendations carry cost implications, we expect to absorb such costs within our existing program allocations.

Question 14. NEH recently announced that it has awarded grants to hundreds of small public libraries across the nation to enable these institutions to add to their collections of great American literature. Why is this program not being continued in FY 2002?

Answer. The Millennium Project for Public Libraries was designed as a one-year initiative to make available a set of Library of America volumes to at least 800 libraries. The Carnegie Corporation of New York has contributed \$1 million toward the cost of the program. The Endowment's role in this joint effort is to administer the selection of Millennium Project libraries. The recipient libraries will be selected from applicants to two grant competition deadlines during FY 2001.

In view of the significant success of this program, we are exploring ways in which we might continue it for another year.

Authorization

Question 15. Your authorizing legislation has expired, and under the rules of the House funding cannot be appropriated for programs that are not authorized. What activities are you engaged in that would assist efforts to see the NEH reauthorized? Have you had any contacts with the House authorizing committee or staff regarding moving an authorization during the 107th Congress?

Answer. The Endowment is willing to work closely with Congress and with the new Administration to reauthorize NEH's enabling legislation, which expired in 1993. However, we are not aware of any immediate plans of our authorizing committees—the House Committee on Education and the Workforce and the Senate Committee on Health, Education, Labor, and Pensions—to introduce legislation this session to reauthorize the National Foundation on the Arts and the Humanities Act.

For the record, we would note that the most recent action on the reauthorization front occurred on May 27, 1999, in the first session of the 106th Congress, when the Senate authorizing committee held hearings on the reauthorization of the Humanities and Arts

Endowments. However, neither the committee nor the full Senate took any additional action on this matter in 1999.

Developing New Audiences

Question 16. Please tell us about your "Extending the Reach" program. How successful have you been in reaching new areas of the country as well as groups that have not previously benefited from your grant programs? What are your plans for this initiative in FY 2002?

Answer. "Extending the Reach" is an Endowment-wide initiative launched in FY 2000 to enable underserved institutions and states to develop the necessary resources to launch high-quality humanities programs and, ultimately, to compete successfully for the full range of NEH grants.

To date, we have made 208 "Extending the Reach" awards totaling \$2.6 million. These include grants to (1) humanities councils, smaller cultural institutions, colleges and universities, and schools in fifteen states or jurisdictions receiving relatively few awards in recent years or having low levels of per capita NEH funding; and (2) minority-oriented colleges and universities identified in Presidential Executive Orders.

The Endowment is committed to monitoring the effectiveness of its outreach efforts. To that end, we are developing a comprehensive evaluation plan for "Extending the Reach." The initial results are quite encouraging: In the first year alone, the total number of awards made in the 15 designated states and jurisdictions rose by 134%. Furthermore, in FY 2000, NEH dollar support increased by 70% for historically black colleges and universities and by 42% for Hispanic serving institutions. Similarly, the number of awards made to tribal colleges and universities increased three-fold.

The success of these outreach efforts depends on a sustained commitment on the part of the Endowment to strengthen the institutional capacity of small and underserved institutions. Starting this year, we have integrated the "Extending the Reach" efforts into the regular NEH programs. The various divisions have now assumed the responsibility of overseeing and funding these programs. Mainstreaming "Extending the Reach" in this way assures its future. We are currently accepting applications in five separate programs for "Extending the Reach" grants.

Question 17. Support for public programs has decreased in recent years. Please provide a table which indicates NEH funding support for public programs during the past 5 years and the funding level in the request.

Answer. – See chart that follows –

Public Programs Budget Allocations, FY 1997–FY 2002

(\$ in thousands)

<u>Fiscal Year</u>	<u>Definite Funds</u>	<u>Treasury Funds</u>	<u>Total</u>	
			<u>Public Programs</u>	<u>Enterprise*</u>
1997 (actual)	\$10,278	\$900	\$11,178	\$2,138
1998 (actual)	10,087	631	10,718	1,143
1999 (actual)	10,909	900	11,809	1,500
2000 (actual)	11,588	900	12,488	—
2001 (estimate)	12,560	900	13,460	—
2002 (request)	12,560	900	13,460	—

* In fiscal years 1997-1999, the Enterprise Program was part of the Division of Public Programs and Enterprise. The Enterprise Program supported a variety of Endowment-wide initiatives, including activities associated with the National Conversation initiative and the NEH partnership with the Mellon Foundation in support of humanities research centers.

The most dramatic decrease in NEH support for public programs occurred between in FY 1994, when the Division of Public Programs awarded \$27.5 million in grants, and FY 1996, when it awarded \$12.5 million. Public programs, films and exhibitions especially, typically require several years to develop from their conception to their implementation. The 55 percent decline in NEH support for films, exhibitions, and library programs that occurred in fiscal years 1994 through 1996 set in train a phased reduction in the availability of lifelong learning activities for the public. Only now, after two small funding increases in fiscal years 2000 and 2001, can we project modest annual increases in the numbers of completed projects reaching the public. For example in 1994, 41 NEH-funded films premiered, providing 71 broadcast hours, but by 2000 there were only 5 new NEH-supported films on television providing 16 broadcast hours. In 2002, however, we hope to see 13 new NEH-supported films and 31 broadcast hours of humanities programming.

Question 18. Please provide examples of recent public programs supported by the NEH and explain the federal versus private funding provided for these efforts.

Answer. Public programs supported by the Endowment routinely employ a mixture of federal, private, and grantee resources. In January 2001, PBS broadcast *Jazz*, Ken Burns' nineteen-hour documentary series about America's most original contribution to the world's music traditions. NEH supported the project with a matching grant of \$800,000 awarded in FY 1996. In addition, approximately \$200,000 of the federal share of project income from Ken Burns' NEH-funded film *The West* was applied toward *Jazz*. The National Endowment for the Arts provided an additional \$200,000. Quasi-federal funding of \$3.5 million was provided by PBS and the Corporation for Public Broadcasting. In all, "federal" funding for this project totaled \$4.7 million. Another \$1 million was contributed by the State of Louisiana Department of Culture, Recreation and Tourism. General Motors provided corporate underwriting totaling \$4 million. Finally, an assortment of foundations—including the Park Foundation, the Doris Duke Foundation, the Pew Charitable Trust, and the Arthur Vining Davis Foundations—contributed a total of \$4.4 million. Of the total project cost of \$14.1 million, the NEH contribution represents a little over 7 percent and that of all federal funding sources together, 31 percent.

Scottsboro: An American Tragedy, recently nominated for an Academy Award for Best Documentary Feature, addresses the difficult historical issues raised by the trial of nine black youths falsely accused of rape in 1930's-era Alabama. With its potentially controversial subject matter and lacking the drawing power of a name like Ken Burns, this film was never a very likely recipient of major corporate sponsorship. That it was finally possible to bring *Scottsboro* to public audiences is attributable mainly to the support provided by a variety of public funding entities, including the NEH (\$462,100), several state humanities councils and other regional contributors (\$140,000), and the Corporation for Public Broadcasting (\$262,000).

The richly illustrated and interpreted exhibition *Taoism and the Arts of China*, which opened this last winter at the Arts Institute of Chicago and has now traveled to the Asian Art Museum of San Francisco, was supported with \$225,000 in NEH grants beginning in FY 1996. The Art Institute of Chicago credits the Endowment's grants, awarded early in the life of the project, with playing a vital role in that institution's unprecedented success in raising over \$800,000 in foundation funding for a single exhibition. With the addition of an NEA grant of \$150,000, combined federal support totaled approximately 25 percent of cost of this project. Contributions by six foundations supported 43 percent of the costs, and an assortment of institutional resources provided by the grantee contributed another 32 percent.

Since FY 1994, the Endowment has awarded three grants to the Rhode Island School of Design to research and interpret materials that document an Italian-American immigrant business in the early part of the twentieth century. The result is the exhibition *From Paris to Providence: Fashion, Art, and the Tirocchi Dressmakers Shop, 1915-1947*. The implementation phase of this exhibition was supported with an NEH grant \$90,000, plus

a matching component of \$50,000 that is still leveraging non-federal contributions. Of the total project costs of \$435,750, the Endowment's grant will contribute 32 percent, various private funders 45 percent, and the Rhode Island School of Design 23 percent.

Question 19. What public programs are currently under development? What is the usual time period involved from providing grants for a project to the time that it is completed and available for public viewing?

Answer. Public programs that are capable of attracting a large audience, such as films for television or museum exhibitions, normally require several years to develop from the time of the Endowment's initial award of project funding. The Endowment may provide support for one or more stages of a project's development. These may include consultation, planning, scripting, and implementation/production. The public programs cited above (in answer to question 18) are rather typical in terms of the duration of their development. As it happens, the Endowment awarded initial funding for all four of these programs in FY 1996, and all four were available to be seen during the winter of 2000-2001. It is worth noting, however, that a project of the scope of *Jazz* probably would not be completed in that span of time without an established talent like Ken Burns to make it a magnet for major corporate funding.

Film projects currently in the works include a three-part documentary series on the life and times of Benjamin Franklin and two projects to develop enhanced digital content for simultaneous broadcast with the films *Woodrow Wilson and the Birth of the American Century* and *Partners of the Heart*. The latter is a documentary about Vivien Thomas and Alfred Blalock, the interracial medical team who overcame institutional racism in the mid-20th-century American South in order to achieve pioneering advances in modern cardiac surgery. Museum exhibitions currently under development focus on such subjects as the design and architecture of space travel and exploration, the lifeways of Northern Plateau native cultures, nineteenth-century sweatshops, and coming of age in ancient Greece.

Question 20. To what extent do sales of public program videos and other media help offset the costs of production?

Answer. A share of the income generated by NEH-funded programs accrues to the Endowment according to a legally specified formula. In FY 1999, the most recent year for which we have complete data, the Endowment earned \$227,000 in program income, derived almost entirely from the sale of video cassettes. Program income funds either become revenue for the U.S. Treasury or they may be used to support a subsequent project of the same grant recipient. In FY 1999, nearly \$100,000 in program income generated by Ken Burns' *Baseball* and *The West* was re-awarded in support of that producer's current NEH-funded project, correspondingly reducing the Endowment's use of appropriated funds for that purpose. Because the greater part of the revenue generated

by NEH-supported projects accrues to the grant recipients, these funds contribute to the ability of public program providers to undertake further work.

Regional Humanities Centers

Question 21. Please briefly summarize the planning grants distributed to date and the activities the planning grantees are now undertaking to develop their centers.

Answer: NEH has awarded twenty planning grants for regional humanities centers – two in each of ten regions of the country. During the past year these grantees have engaged in a variety of planning activities. Most important have been advisory meetings with various organizations and institutions, as the university-based planners reach out to new constituencies. Extensive new collaborations are developing among schools, museums, historical societies, state humanities councils, as well as other colleges and universities. Planners have created new websites and list serves. Inclusive organizational structures are being developed to assure institutional strength, and fund-raising is being planned to create long-term, self-sustaining financial bases for the proposed centers. Planners and their advisors are designing programs to support scholarly research, enhanced curricula, archival preservation, and public programming on topics relevant to the people of the region.

Question 22. You are requesting \$1.2 million for the first year of the implementation phase of the regional centers initiative. How much do you propose to raise in private funding to supplement the requested appropriation? Is the combined sum enough to establish viable centers in each of the ten regions?

Answer: When we make our initial implementation awards this November, we expect to have \$2.8 million in federal funds on hand: \$1.2 million requested from Congress for FY 2002, plus \$1.6 million in previously appropriated funds. For us to make the full \$1 million award to each of the ten centers for their first-year operations, we will need to raise an additional \$7.2 million in private funding. To date we have secured \$2.5 million from the Knight Foundation in support of the implementation phase of this initiative (of which \$500,000 will be available in the first year), and we expect to raise considerably more between now and November.

We have made it clear in our application guidelines that awards for the centers are contingent on the availability of funding. Should we fall short in our fund-raising goals as we approach the November award date, we will use the resources then at our disposal to make the implementation grants. Although this may mean that we are unable to provide the centers with full funding, we are confident that a partial award will enable the grantees to develop credible and effective centers.

Question 23. What is your vision for out-year funding needs for the regional centers? What level of private, cooperative, and Federal funding will be needed over the next five years?

Answer: In years two through five of this initiative, we hope to raise a total of \$40 million in funding from public and private sources -- \$10 million over each of the four out years. We are working aggressively to raise the funds needed to augment whatever Congressional appropriation we receive during these years. Our strategy is to pursue three types of nonfederal partnerships:

- **National Partnership.** A commitment of \$30+ million over five years is being sought to underwrite the establishment of the whole network of regional centers. Partner would share title credit with the NEH for the entire initiative.
- **Regional Partnership.** NEH is seeking a commitment of \$3 million over five years to underwrite the establishment of any one regional center. The partner would share title credit with the NEH for that one center.
- **Local Partnership.** NEH is seeking commitments ranging from \$25,000 to \$2 million to partially underwrite the establishment of any one regional center. Donors would share credit with other funders as a community partner of the NEH.

We are currently in discussion with over 50 prospective donors and are actively approaching additional prospects as they are identified.

Research and Preservation

Question 24. You have indicated that NEH fellowships and stipends are very important to humanities research in America. Do you have records of the publications and major awards that have resulted, in part, from recent NEH research grants? Please summarize.

Answer. The quality of the scholarly research projects supported by NEH can be judged in part by the number of publications that result from such grants and the awards these publications receive for excellence. Over the course of the agency's history, NEH fellowships and stipends have resulted in more than 2,500 books, including more than 150 in the past year. These publications have garnered hundreds of prestigious awards for excellence in scholarship and writing, including 13 Pulitzer Prizes. In 2000, for

example, biographer Stacy Schiff, an independent scholar in New York City, won the Pulitzer Prize for Biography for her NEH-supported book, *Vera (Mrs. Vladimir Nabokov): Portrait of a Marriage*.

Listed on the following pages are the prizes that were conferred on Endowment-supported publications last year.

Division of Research Programs

2000 Book Prize List

Academy of American Poets. Raiziss/de Palchi Book Prize for outstanding translation of modern Italian poetry.

Zanzotto, Andrea. *Peasants Wake for Fellini's Casanova and Other Poems.* Ed. And Trans. John P. Welle and Ruther Feldman. Urbana: University of Illinois, 1997.

American Academy of Religion. Award for Excellent in the Study of Religion.

Frankfurter, David. *Religion in Roman Egypt.* Princeton: Princeton University Press, 1998.

American Historical Association. Prize in Atlantic History.

Karen Ordahl Kupperman. *Indians and English: Facing Off in Early America.* Ithaca: Cornell University Press, 2000.

American Historical Association. Joan Kelly Memorial Prize for best work in women's history.

Thompson, Elizabeth. *Colonial Citizens: Republican rights, Paternal Privilege, and Gender in French Syria and Lebanon.* New York: Columbia University Press, 2000.

American Historical Association. Littleton-Griswold Prize for the best book on the history of the American law and society.

O'Brien, Gail Williams. *The Color of the Law; Race, Violence, and Justice in the Post-World War II South.* Chapel Hill: University of North Carolina Press, 1999.

American Historical Association. J. Russell Major Prize for best work in English on any aspect of French history.

Sherman, Daniel J. *The Construction of Memory in Interwar France.* Chicago: University of Chicago Press, 1999.

American Political Science Foundation, Ralph Bunch Award for best scholarly work in political science.

Marx, Anthony W. *Making Race and Nation: A Comparison of South Africa, the United States, and Brazil.* New York: Cambridge University Press, 1998.

American Society of Composers, Authors and Publishers, 2000 Deems Taylor Award.

Sherman, Tony. *Backbeat: Earl Palmer's Story.* Washington DC: Smithsonian Institution Press, 1999.

American Society for Hispanic Art Historical Studies. Eleanor Tufts Book Award.
Webster, Susan Verdi. *Art and Ritual in Golden-age Spain: Sevillian Confraternities and the Processional Sculpture of Holy Week.* Princeton: Princeton University Press, 1998.

American Sociological Association. Political Sociology Section, Distinguished Publication Award.

Amenta, Edwin. *Bold Relief: Institutional Politics and the Origins of Modern American Social Policy.* Princeton: Princeton University Press, 1998.

Association for Asian Studies. Arfanda Kentish Coomaraswamy Prize.

Viswanathan, Gauri. *Outside the Fold: Conversion, Modernity and Belief.* Princeton: Princeton University Press, 1998.

Columbia University. 2000 Bancroft Prize.

Merrell, James. *Into the American Woods: Negotiators on the Pennsylvania Frontier.* New York: W. W. Norton, 2000.

Historical Society of New Mexico. Ralph Emerson Twitchell Award for significant contribution to the field of history in the area of fine arts.

Cather, Willa. *Death Comes for the Archbishop.* Ed. Charles W. Mignon. Lincoln: University of Nebraska Press, 1999.

Medieval and Renaissance Drama Society. David Bevington Award for best new book in early drama studies.

Kipling, Gordon. *Enter the King: Theatre, Liturgy, and Ritual in the Medieval Civic Triumph.* Oxford: Clarendon Press, 1998.

Medieval Institute of Western Michigan University. Otto Grundler Prize for distinguished book in medieval studies.

Kipling, Gordon. *Enter the King: Theatre, Liturgy, and Ritual in the Medieval Civic Triumph.* Oxford: Clarendon Press, 1998.

Modern Language Association. James Russell Lowell Prize for outstanding literary study.

Campbell, Mary Baine. *Wonder and Science: Imagining Worlds in Early Modern Europe.* Ithaca: Cornell University Press, 1999.

Modern Language Association. Mina P. Shaughnessy Prize for outstanding work on the teaching of language, linguistics, rhetoric, and composition.

Canagarajah, A. Suresh. *Resisting Linguistic Imperialism in English Language Teaching.* New York: Oxford University Press, 1999.

Modern Language Association. Howard R. Marraro Prize and Aldo and Jeanne Scaglione Prize for outstanding scholarly work in Italian literary studies.

Brosce, Margaret. *Leopardi Sublime*. Bologna: Re Enzo Editrice, 1998.

Canepa, Nancy L. *From Court to Forest: Giambattista Basile's Lo cunto de li cunti and the Birth of the Literary Fairy Tale*. Detroit: Wayne State University Press, 1999.

Pulitzer Prize for History.

Kennedy, David M. *Freedom From Fear: The American People in Depression and War, 1929-1945*. New York: Oxford University Press, 1999.

Pulitzer Prize for Biography.

Schiff, Stacy. *Vera (Mrs. Vladimir Nabokov)*. New York: Random House, 1999.

Society for the Study of Early Modern Women. Josephine A. Roberts Edition Award.

Hannay, Margaret P., Noel J. Kinnamon, and Michael G. Brennan, eds. *The Collected Works of Mary Sideny Herbert, Countess of Pembroke*. Two volumes. Oxford: Clarendon Press, 1998.

Urban History Association. Best Book in North American Urban History.

Schneirov, Richard. *Labor and Urban Politics: Class Conflict and the Origins of Modern Liberalism in Chicago*. Urbana: University of Illinois Press, 1998.

Question 25. Besides the NEH, are there other sources of funding for basic humanities research, such as from State or foundation sources?

Answer. NEH has long been the nation's single largest source of support for humanities research, including postdoctoral fellowships and large-scale collaborative research efforts, such as historical archaeology projects and the preparation of scholarly editions and reference works. Several private foundations and organizations support fellowships and research, but most limit their funding to research in particular fields or topics or to particular constituencies. Many of these foundations become partners with the NEH through their contributions to specific NEH-funded projects in response to NEH offers of matching funds.

States' support for humanities research comes primarily through state colleges' and universities' support of their faculties. Institutions of higher education, public and private, may support the research of their faculty through sabbatical programs or small grant programs, but in general higher education depends on outside sources for much of its funding for sabbatical research. Providing time off from teaching to conduct scholarly research—what a fellowship entails—or subsidizing large-scale collaborative projects with many contributing scholars from other institutions is not a cost that most institutions, lacking a large endowment, can easily assign to such conventional sources of revenue as tuition or state funding. NEH is one of the only sources of support open to all eligible individual applicants in the humanities, regardless of their field of interest, academic rank, and institutional affiliation.

Question 26. Are there any studies which show the relationships among scholarship and basic humanities research and teaching ability and effectiveness by faculty?

Answer. Studies of teaching effectiveness have focused largely on K-12 education and on the influence of such factors as instructional strategies and practices, methodology, classroom environment, class size, teacher collaboration, and student assessment. The results of professional development focusing on in-depth study of the subject matter have received considerably less attention. A 1999 report issued by the Department of Education (ED), entitled "Teacher Quality: A Report on the Preparation and Qualifications of Public School Teachers," revealed that teachers who recently participated in formal professional development felt better prepared than their peers. In this study the type of faculty development activity that ranked highest in its perceived impact was in-depth study of the subjects teachers teach. Ninety-eight percent of the teachers who participated in in-depth study of their subjects believed that their teaching improved as a result. Yet, as the study revealed, "teachers are more likely to have had professional development on topics that emphasize curricula and pedagogical shifts in education." Another ED survey, moreover, showed that only 29% of teachers who had professional development opportunities participated in in-depth study of their subjects, and of those, only a little more than half had spent more than eight hours in such activities in the previous year. Teachers surveyed saw the value of continued study of their subjects, but relatively few had the opportunity.

Recent studies of the relationship of teaching and research in higher education have focused on a variety of issues, such as research productivity, instructional practices, faculty-student contact, or job satisfaction. Such studies tend to look broadly across disciplines. Research about teaching effectiveness has, as in the case of K-12 education, focused largely on instructional strategies. Little attention has been paid in the studies to the specific correlation between research in the humanities and teaching effectiveness. One example of a more focused study was conducted by Robert McCaughey. McCaughey studied the scholarly and teaching activities of humanities and social sciences faculty at a representative group of leading liberal arts colleges and compared "externally-generated scholarly ratings" of the faculty with "usable local ratings of [their] teaching effectiveness," that is, evaluations of their performance conducted at their own institutions. He found a positive correlation between their activity as scholars and their effectiveness as teachers--"positive at levels that are statistically significant" (McCaughey, *Scholars and Teachers*, 1995). McCaughey noted that the finding confirmed the testimonial evidence of that group that "their effectiveness in the classroom had been sustained--or, at least prolonged--by their ongoing scholarly activity."

Because NEH believes that the core of all formal education is content-rich teaching, NEH supports the efforts of teachers at all levels to increase their expertise in their subjects. NEH's support is premised on the idea that teachers must continue to expand their understanding of the subjects they teach--learning more about what they teach, not just how they should teach. Engaging in individual or collaborative research or participating in NEH seminars and institutes led by active scholars provides teachers with the opportunity to be active learners, which in turn enriches their teaching. A report from the Eisenhower National Clearinghouse at Ohio State University, "Ideas that Work: Summaries of 15 Strategies for Professional Development," identifies "immersion" in the subject matter as an effective strategy to improve in the sciences and mathematics:

First, by becoming a learner, teachers deepen their own understanding of the ... content that they are teaching their students. Second, by experiencing the processes for themselves, teachers are better prepared to help students become active, engaged inquirers ... Using this strategy is based on the assumption that teachers benefit from experiences grounded on the same principles that they are expected to implement with students.

Although this study was about professional development in science and math, the same conclusion applies to teachers of humanities subjects. When teachers of history, for example, retain the curiosity that sparked their first interest in the field, and when they can engage in research and exploration of evidence and ideas, they become better prepared to lead students in shared historical inquiry and train them in research and analysis of evidence. Participants in NEH Summer Seminars for College and University Teachers, for example, report that their experience in conducting research under the direction of an expert in the field and engaging in joint study of key issues reinvigorates their teaching as well as expands their knowledge of the subjects they teach.

The expanding base of knowledge in an increasingly complex world, and the deluge of information (and mis-information) available at the click of a mouse, present increasing challenges to teachers. Opportunities to engage in intensive study of humanities subjects provide teachers with information about new resources available for their research and for their teaching. NEH encourages scholars to share the results of their research, not only through scholarly publications, but also through websites, textbooks, and other educational materials. NEH fellow Neal Salisbury's research, for example, contributed to the textbook, *The Enduring Vision: A History of the American People* (1997). The results of NEH-supported archaeological research at Jamestown, Virginia, are available to scholars and to teachers and students on the "Virtual Jamestown" website, which incorporates links to maps, images, documents such as letters and public records, and teaching materials. The website was selected for inclusion in the Endowment's peer-reviewed gateway website for teachers, EDSITEment. The research also informs an NEH Summer Seminar for Teachers to be held this year on "Jamestown and the Formation of an American Culture: Natives and Newcomers in Text, Image, and Artifact." NEH-funded curricular projects and professional development opportunities for teachers help incorporate our continually advancing knowledge into classroom instruction in the nation's schools and colleges.

Question 27. The Committee has long been interested in the brittle books project. How is that project going?

Answer. Under NEH's long-range preservation plan, which was presented to and accepted by Congress in 1988, the Endowment was to provide grants to preserve a total of 3 million brittle volumes held by the nation's research libraries. When currently funded projects conclude, the intellectual content of more than over 1,046,000 brittle volumes will have been preserved on microfilm.

A recent and widely publicized book by Nicholson Baker has raised a number of questions about the fragility of acid-based paper and the suitability of microfilm as a preservation medium, and also about libraries' practices in retaining the originals of books once their contents have been preserved. We are reviewing the representations made in this book and will consider any implications they may have on NEH's support for the preservation of endangered books and newspapers.

State Programs

Question 28. What percentage of your budget request and of your FY 2001 funding is intended to go for state councils?

Answer. The Federal/State Partnership would be allocated 25.4 percent of the Endowment's FY 2002 requested budget of \$120.5 million. The council's allocation would encompass 35.4 percent of definite program funds and 33.3 percent of Treasury funds. In FY 2001, the councils are allocated 25.5 percent of the total budget of

\$119.995 million, including 35.4 percent of definite program funds and 33.3 percent of Treasury funds.

The state humanities councils may also compete for funding in the Endowment's regular grant programs. In FY 2000, 23 program grants totaling \$1.2 million were awarded to state council applicants, including \$280,000 awarded to 14 councils through the special *Extending the Reach: Model Humanities Projects* competition.

No matter how the percentages are computed, the proportion of NEH funding allocated to the state councils is well in excess of the statutory minimum set forth in the Endowment's authorizing legislation. Also note that the state councils were largely spared from the significant budget cuts experienced by the agency in 1995.

Question 29. How many state humanities councils receive state support and how much? In general, what portion of state humanities council budgets are derived from the NEH?

Answer. In 2000, 34 humanities councils received state appropriated funding totaling approximately \$10 million. Practice varies widely among states, but most provide funding to the councils for specific projects rather than on a continuing basis.

A survey conducted by the Federation of State Humanities Councils revealed that, in 1998, 61 percent of the councils' budgets came from NEH grants, 16 percent from state appropriations, 14 percent from private sources, and 5 percent from earned income.

Question 30. The NEH budget request emphasizes "extending the reach" of the Endowment. Why then is a greater proportion of the request not reserved for the state councils, who seem to be at the forefront of this effort? What justification is there for continued funding for *national* programs for seminars and institutes, educational focus grants, and library and museum programs, and their associated administrative costs?

Answer. We think the current levels and the levels of our request represent an efficient distribution of federal resources for the humanities among nationally and locally based programs. The Endowment and the state councils are both very good at what they do, and their efforts complement one another. The Endowment draws upon the cultural resources of the entire nation to foster progress and continued excellence in the humanities. By working intensively with locally based organizations and groups—many not equipped to submit a nationally competitive grant application to NEH—the councils carry humanities programs to audiences and communities that the Endowment might otherwise miss. School and college teachers who want to participate in an NEH-funded, residential seminar or institute can choose from an extensive list of humanities topics and institutions in all parts of the country. In the summer of 2001, those choices include *Revolution and the Making of Identities: France, 1787-1799*, a five-week seminar for school teachers to be held at the Newberry Library in Chicago, and *Teaching the History of the Civil Rights Movement*, a five-week institute for college teachers that will be held

at Harvard University. Both are open to teachers from all parts of the country, not just those in Illinois and Massachusetts. On the other hand, teachers who would rather not be away from home for four to six weeks during the summer value the opportunity to apply to the nearby seminars and institutes sponsored by their state council. Council-sponsored programs for teachers are typically non-residential and of considerably shorter duration than those supported by the Endowment.

The 56 state humanities councils, each with a fractional part of the funds allocated to the Federal/State Partnership, can accomplish at the local level few of the research, education, media, and exhibiting functions that the NEH performs uniquely well at the national level. In FY 1996, when the Endowment's total budget was cut by 36 percent and many programmatic areas cut far more, the state councils' grants were reduced by only 6 percent. Were funding for the Endowment's regular programs curtailed still further in order to allocate additional funds to the councils, national support that has no real counterpart at the state level would diminish. The loss to the cultural and intellectual life of the nation could not be undone by a corresponding expansion of the state councils' programs. A reduction in NEH's national grant programs would mean that fewer Presidential papers would be published, fewer research fellowships would be available in the humanities, fewer intensive summer seminars and institutes would be open to teachers from any state, fewer brittle books would be preserved, and the number of world-class television documentaries and exhibitions currently in production would decline more precipitately than it has already.

In FY 2000, *Extending the Reach: Model Humanities Projects*, administered by the Division Public Programs, attracted applications for \$20,000 in project support from 14 of the 15 state humanities councils that were eligible to participate in this initiative. The 14 councils that received support are working with at least two partner organizations to develop and pilot a humanities project that others can emulate. Model Humanities Projects are helping the councils and their partners to develop the institutional capacity to compete successfully for funding in the Endowment's regular programs. The state humanities councils may also compete for funding in the Endowment's regular grant programs. As noted above, in FY 2000 23 program grants totaling \$1.2 million were awarded to state council applicants.

Digital Technology

Question 31. Please describe your efforts to assist institutions at using the world wide web to make materials more available to the public.

Answer. The burgeoning availability of digitized documents and other materials for humanities study, allied with the encyclopedic, distance-annihilating potential of the World Wide Web, now means that students and teachers anywhere can access primary sources once available to only a few in remote, specialized research collections. NEH support has made possible a growing array of innovative applications of technology for learners. Many of them are available on EDSITEment, the portal website for the best of the humanities on the Web, developed by NEH in partnership with WorldCom, the

Council of the Great City Schools, and the National Trust for the Humanities. For example, *The Valley of the Shadow*, a website developed at the Virginia Center for Digital History, gives students a unique window into the lives of ordinary people during the Civil War. An extensive archive of documents—including newspapers, photographs, census and tax records, letters, diaries, and music—enables students to research daily life during the Civil War in two Shenandoah Valley counties located on either side of the Mason-Dixon Line. Another website recently added to EDSITEment is *VRoma*, a collection of online resources for teaching Latin and ancient Roman culture. Developed with NEH support, *VRoma* is the product of a collaboration among several institutions—Skidmore College, Associated Colleges of the South, College of New Rochelle, Rhodes College, and Miami University. Modeled in concept on the ancient city of Rome, the website has elements of a forum where teachers and students can interact within a virtual community consisting of simulated historical places, circa 150 A.D. *VRoma* provides online access to a wealth of resources from ancient texts, commentaries, images, maps, and virtual artifacts to modern Latin textbooks and interactive elements. The University of North Carolina's *Documenting the American South*, also accessible from EDSITEment, contains a growing digital archive of North American slave narratives. Supported with an NEH preservation grant, the site will soon provide Internet access to all known narratives of fugitive and former slaves published in broadsides, pamphlets, or book form in English before 1920. These materials, many of them surviving only in frail copies, are scattered among many repositories. With *Documenting the American South*, they can be brought into any Internet-connected classroom in the United States.

Two recent NEH grants will provide online resources for teachers of world history: Northeastern University in Boston, Massachusetts, received a grant for "The World History Network: A Website for Teachers, Students, and Scholars," which will provide resources for teachers and scholars in this burgeoning new field; and an award to San Diego State University will support the development and dissemination of an online model curriculum for middle and high school courses in world history covering ancient times up to 1500 A.D. The teaching of world history in the schools as well as in the undergraduate curriculum has expanded rapidly over the last decade. Over 30 states now mandate the teaching of world history or global studies, and many colleges have replaced general education requirements for Western civilization courses with world history courses. The training of school teachers and college faculty to teach world history, however, has lagged behind developments in research and the production of materials. Resources and effective presentation strategies for teachers are not readily available. The projects underway at Northeastern University and San Diego State University will bring valuable resources and guidance to teachers of world history by providing links to original documents, maps, recent scholarship, lesson plans, classroom activities, and teaching materials. The World History Network will also offer tutorials, reference materials, and a portal to other web resources, which will be reviewed for quality and annotated for use by teachers.

Another recent NEH grant, this one to Macalester College, St. Paul, Minnesota, is supporting the development of a digital, multimedia sourcebook of Soviet Russian history from 1917 to the present. This sourcebook will include primary sources from recently-

opened Soviet archives and will be published both online and on a CD-ROM. "Children in Urban America: A Digital Archive," under development at Marquette University, Milwaukee, Wisconsin, will similarly provide online access to educational materials on the experience of children in American cities from the mid-19th century to the present.

In FY 1998, the Endowment launched Schools for a New Millennium, a three-year initiative based on principles of whole school reform, content-based teacher professional development, and the integration of digital technology into the curriculum. Schools for a New Millennium grants enable a school, in partnership with local colleges, the community, and local businesses, to design professional development activities that address a given humanities theme, or set of texts, while integrating digital technologies into the classroom. For example, the NEH awarded a Schools for a New Millennium planning grant to the Kansas State School for the Blind in Kansas City to develop a "virtual" wagon train journey on the historic Oregon Trail, using special screen-reading software and other digitized adaptations for use by the sight-impaired. Members of the project team worked with humanities scholars to deepen their understanding of the settlement of the West, making use of travelers' diaries and other primary records. Eventually, the team plans to collaborate with several partner schools in Colorado, Wyoming, and Nebraska.

NEH has long been a leader in bringing humanities scholarship into the digital age. Since the 1970s, we have provided support for the creation of humanities textbases, such as the *Thesaurus Linguae Graecae*, which contains the entire extant corpus of ancient Greek texts from 750 BC to AD 600. In the near future, it will be possible for researchers anywhere to do online searches for and retrieval of primary source materials wherever they might be held. Recent grants are supporting an electronic archive of the works of British poet and artist William Blake, which integrates textual and visual materials dispersed in various Anglo-American repositories, and an online textbase of women's writing in English from 1300 to 1830. The Endowment has also provided support to institutions around the country to enable them to provide access to research materials via the Internet, such as documents on the American advertising industry, photographs depicting the history of rodeos, and sound recordings about the history and folklife of Ashkenazic Jewry and about American political, social, and cultural history in the Midwest.

To help ensure that humanities institutions make the most effective use of new digital technologies, the Endowment supports projects that focus on developing standards and best practices for the creation, dissemination, and maintenance of access to materials in digital formats. In FY 1999, for example, NEH served as one of the sponsors of the Digital Library Initiative (DLI2). The DLI2 is conducted by the National Science Foundation and jointly supported by the Defense Advanced Research Projects Agency, the National Library of Medicine, the Library of Congress, the National Aeronautics and Space Administration, and other federal agencies. The primary purposes of this initiative are to provide leadership in research fundamental to the development of the next generation of digital libraries; to advance the use and usability of globally distributed, networked information resources; and to encourage existing and new communities to

focus on innovative application areas, including the humanities. Grants made through the initiative in FY 2000 are helping support for the development of an online encyclopedia of philosophy, the creation of databases of Classical Chinese and ancient Middle Eastern texts, a digital music library, and software for retrieving information from historical manuscripts.

Recently the Endowment announced the first seventeen grants under a special initiative to create comprehensive online encyclopedias on the history and culture of each state in the nation. For FY 2002 the Endowment plans a new initiative that will digitize historic U.S. newspapers and make these materials widely available via the Internet to scholars, students, teachers, and the general public.

Digital media are similarly transforming the public's experience of the humanities. The Endowment is helping lead this transformation by supporting projects that use digital media to deepen the humanities content and to extend the reach of NEH-funded museum exhibitions, television broadcasts, and other programs for the general public. In November 1999, in conjunction with the Thanksgiving holiday, the Endowment launched the *My History is America's History* website. The initiative, which features an NEH-designed guidebook and an interactive website, is encouraging Americans of all ages to learn more about their family's history and to place it in the context of the broad sweep of American history.

Mandated by the FCC for public television broadcasts by 2003, digital television will make possible multicasting, the simultaneous transmission of four or more channels of programming. In November of 1999, PBS presented Ken Burns' film *Frank Lloyd Wright* (which received an NEH planning grant) as an enhanced program with datacasting of additional content simultaneous with the broadcast. In FY 2000 and 2001 the Endowment and the Corporation for Public Broadcasting collaborated on a joint initiative to award Digital Parallel Production Grants. As the convergence of television and the Internet becomes a reality, this innovative partnership will ensure that the humanities are well represented among the new generation of "enhanced-digital-content" programs. In the first phase, NEH and CPB each contributed \$200,000 in support of seven prototype development projects. Producers with humanities films already in production are working with digital technology teams to design creative ways to extend and deepen the viewer's experience. In the second phase, full production awards were made to two projects—*Woodrow Wilson and the Birth of the American Century* from KCET in Los Angeles and *Partners of the Heart* from independent producer Andrea Kalin. These outstanding films, both of which will be ready for broadcast in the next three or four years, will be accompanied by digital enhancements designed by some of the most creative production teams in the United States.

Question 32. You are proposing to place increased emphasis on efforts to preserve historically important sound recording collections. How will you identify these collections? How will you then determine which ones merit NEH support?

Answer. In FY 2002 the Endowment will encourage the development of projects to preserve and increase the accessibility of endangered sound recordings, particularly recordings of such music genres as folk, jazz, and the blues. For over a century, this music has been recorded on such unstable media as wax cylinders, aluminum disks, vinyl, and tape. NEH will encourage institutions to develop a range of projects designed to produce national cataloging standards, best practices for reformatting endangered materials, the education and training of persons responsible for the care of these collections, and the digitization of nationally significant collections.

In December 2000, the American Folklife Center of the Library of Congress and the American Folklore Society convened a national conference of distinguished experts to discuss issues related to preserving and creating intellectual access to endangered music collections. The deliberations of the conference were informed by a survey that provided information about the institutions and individuals holding aural ethnographic materials and about the dimensions of the preservation and access challenges confronting these collections. The Council on Library and Information Resources will publish a report of the conference in spring 2001. NEH staff will review a draft of this report, which will inform the Endowment's next steps in developing a special programming emphasis related to preserving the nation's recorded sound heritage.

Once the Endowment develops the specific parameters of this special effort, institutions and organizations that hold important collections are expected to apply for grants to preserve their materials. The grant applications that are submitted under the initiative will then be evaluated within the agency's multi-staged review system. Experts in preserving and cataloguing recorded sound will assess the relative merits of the proposals, including the importance and significance of the collections to be preserved and made more accessible, and identify those projects that warrant support from NEH.

Question 33. Describe your initiative to develop on-line state encyclopedias. How are the state humanities councils being involved? How much funding will you devote to this in FY 2002?

Answer. NEH has recently established a new program of grants to support the creation of digital, online encyclopedias on the history and culture of each U.S. state, territory, and the District of Columbia. This program is being conducted in cooperation with the state humanities councils across the nation, to whom the grants are being awarded. Once these individual state encyclopedias are established and fully operational they will serve as invaluable reference works for students, teachers, and other citizens. We have just awarded planning grants to the first 16 states under this new grant opportunity. Planning grant applications from many other states are anticipated at the next deadline in July. At our FY 2002 request level, we will begin awarding major implementation grants for these online encyclopedias.

Projects are to be carried under the auspices of the state humanities councils. NEH will provide planning grants of up to \$50,000 and awards of up to \$400,000 in outright and

matching funds over the life of the implementation project. State humanities councils may form a consortium with other organizations to develop a project.

The Endowment has stated in its guidelines that funding for these projects is contingent upon the availability of sufficient appropriated funds in the Division of Preservation and Access for this initiative in FY 2002 and future years.

Question 34. What progress are you making in your newspaper preservation program? How will NEH decide which newspapers will be digitized and made available on the Internet? Is the effort to digitize newspapers meant to replace the microfilming phase of your U.S. Newspaper Program?

Answer. All fifty states, the District of Columbia, Puerto Rico, and the U.S. Virgin Islands have been engaged in newspaper planning projects or implementation efforts. The state projects continue to discover, catalog, and preserve scores of little known or forgotten newspaper titles. To date, 39 states, the Virgin Islands, Puerto Rico, and eight national repositories (with newspaper titles from all over the country) have concluded their individual projects. When all currently funded newspaper projects are completed, records for approximately 151,500 unique newspaper titles will be available in a national database accessible through computer terminals at nearly 38,000 institutions in the United States and abroad. In addition, 62 million fragile newspaper pages will have been microfilmed.

The goal of the U.S. Newspaper Program has always been to use information technology to provide the most effective access to newspapers. With the advent of digital technology, there is now a means of going beyond indexing to provide full text searching of newspaper content. To harness twenty-first century technology in service to the humanities, in FY 2002 NEH will mount an initiative to convert microfilms of historical newspapers into digital files to be made freely accessible via the Internet. Under this effort, institutions that hold historically significant collections will develop projects to convert their holdings to digital formats. Experts in the field will evaluate the proposals for their relative merits, including the significance of the newspapers to be digitized, and identify which projects warrant NEH support.

The digitization of newspapers is not meant to replace the U.S. Newspapers program. Rather, the initiative's objective is to complement the important work being done in this multi-phased program, which includes planning, cataloging, microfilming, and, now, digitizing. The outcome of all of these efforts is to make this rich source of historical knowledge and information more widely available to the nation's citizens.

Administrative Issues

Question 35. Will your request for an increase of \$500,000 in your administrative budget enable you to cover all projected administrative costs increases? If not, how will you cover the shortfall?

Answer. We anticipate that the \$509,000 increase in our budget will be sufficient to cover the costs of the pay raise for Federal employees that is scheduled for January 2002. Increases in all other administrative cost categories will have to be absorbed within existing allocations.

Question 36. What is the status of the GSA-directed move of NEH's offices out of the Old Post Office building? Why does the FY 2002 request contain no funds for moving expenses and additional rent?

Answer. The General Services Administration (GSA) was at last report pursuing a planned development of the Old Post Office building. If ultimately approved, NEH is expecting GSA to ask us to move. NEH has not included a request for office relocation and additional rent expenses in our FY 2002 budget, as the status of the move is uncertain. We will continue to work with GSA and Congress on this issue in the months to come. Should a decision be made that has cost consequences for FY 2002, we will return to Congress with a request for a supplemental appropriation.

Additional Questions for the Record Submitted by Rep. Norm Dicks

Question 1: How much of the \$50 million of private funding which you indicated last year you hoped to raise privately for the regional centers' first five years has now been committed by donors?

Answer: To date we have received \$2.5 million in support of the implementation phase of the initiative. (This is in addition to the \$1 million in non-NEH support we raised for the planning phase.) We are working aggressively to raise the additional private sector support we need. We are currently in discussion with over 50 prospective donors and are actively approaching additional prospects as they are identified.

Question 2: Will the regional center grant awards which you hope to make in FY 2002 be one year grants or multi-year awards?

Answer: In each of the five years of this initiative we will offer federal matching funds to the centers. The amount of the offer for each center will be one-tenth of the total available to the agency to make a given year's awards. For example, if in year three of the initiative we have secured public and private funding totaling \$9.2 million for that year, then each of the ten centers will be offered \$920,000 in federal matching funds.

Question 3: This Committee has always supported public-private partnerships but there is reluctance when one-time private funding is used to initiate on-going federal financial obligations. What do you expect to be the cost, both federal and private, of these centers in FY 2003 and how will this cost be financed if your budget is essentially frozen as is the case in the president's proposal this year?

Answer: If fully funded, the centers will cost \$10 million in FY 2003 (\$1 million for each of ten centers). We have made it clear in our application guidelines, however, that awards for the centers are contingent on the availability of funding. Should we fall short of our fund-raising goal in FY 2003, we will use the resources then at our disposal to make that year's implementation grants. Although this may mean that we are unable to provide the centers with full funding in any given year, we are confident that a partial award will enable the grantees to develop viable and fully functioning centers.

We have made it clear in our application guidelines that NEH's support for the centers will only extend over five years. To ensure that these centers will become permanent, self-sustaining entities, we will require that almost all of the NEH award will be used to build endowment.

Question 4: What are your current plans for funding the State Humanities Councils this year and in FY 2002?

Answer. At the agency's FY 2002 request level the Federal/State Partnership would be allocated 25.4 percent of the Endowment's total budget of \$120.5 million. The council's allocation would encompass 35.4 percent (\$30,593,000) of definite program funds and 33.3 percent (\$1.33 million) of Treasury funds. In FY 2001, the councils are allocated 25.5 percent of the total budget of \$119.995 million, including 35.4 percent (\$30,593,000) of definite program funds and 33.3 percent (\$1.33 million) of Treasury funds.

The state humanities councils may also compete for funding in the Endowment's regular grant programs. In FY 2000, 23 program grants totaling \$1.2 million were awarded to state council applicants. Those sums include \$280,000 awarded to 14 councils through the special *Extending the Reach: Model Humanities Projects* competition. These grants are supporting projects by the councils to collaborate with at least two partner organizations in the development of pilot programs for underserved audiences. In July 2001, a second round of Model Humanities Projects grants will be provided directly to the councils' partner organizations to support implementation of their newly developed outreach programs.

Question 5. How does current funding for the Councils program compare to the levels before the major Endowment cuts of the mid-1990's.

Answer. The councils' peak funding year was FY 1995 when they received \$32.8 million: \$32.0 million provided through the Federal/State Partnership and \$800,000 awarded through the Endowment's other programs. In FY 2000, the councils received a total of \$31.8 million: \$30.6 million from the Federal/State Partnership and \$1.2 million in competitive program grants.

Question 6. Toward the end of your statement, you mention the Endowment's role in strengthening teaching of the humanities. We often hear about efforts to deal with problems in math and science teaching but not in areas like history and literature. In broad terms how serious is this challenge and what role do you see for the federal government in support of teacher training for the humanities—not just NEH but the Department of Education as well?

Answer. National Assessment of Educational Progress (NAEP) surveys reveal that American students are deficient not just in their knowledge of math and science, but also in humanities-related subjects such as history, reading, and geography. In a national test on U.S. history conducted in 1994, only a small number of students reached the "proficient" achievement level (defined as signifying solid academic performance and demonstrated competence over challenging subject matter): only 17 percent of fourth graders, 14 percent of eighth graders, and 11 percent of twelfth graders attained this level. Fewer than half the grade twelve students in the NAEP assessment were able to reach the minimum or "basic" level of achievement. NAEP tests of reading performance at the

elementary school level were hardly more encouraging. While 32 percent of the fourth-graders tested last year scored at or above the "proficient" level, another 37 percent were performing below the "basic" level.

Certainly, many factors contribute to high student academic achievement, but the latest education research suggests that of these effective teaching is probably the most significant. Studies also indicate that mastery of the subject matter is the single most important indicator of teacher effectiveness. These findings are consistent with the fundamental purpose of the Endowment's education programs--namely, to provide teachers with training that is centered on the content areas of the humanities. All NEH education programs, from summer seminars and institutes to Schools for a New Millennium, engage teachers in the examination of vital humanities topics, acquaint them with new scholarly interpretations, and introduce them to new materials and instructional approaches. Not least, these programs have served to rekindle among teachers the spark of intellectual inquiry that they in turn transmit to their students.

Although they represent but a small portion of the total federal outlay for teacher training, NEH programs are the only ones that focus directly on history, literature and languages, civics, and geography--subjects that together constitute much of the core of the elementary and secondary school curriculum. In this way, the agency plays a vital role in strengthening American education.

Question 7. For the record would you insert a table and graph showing funding for the Endowment since its inception in 1965?

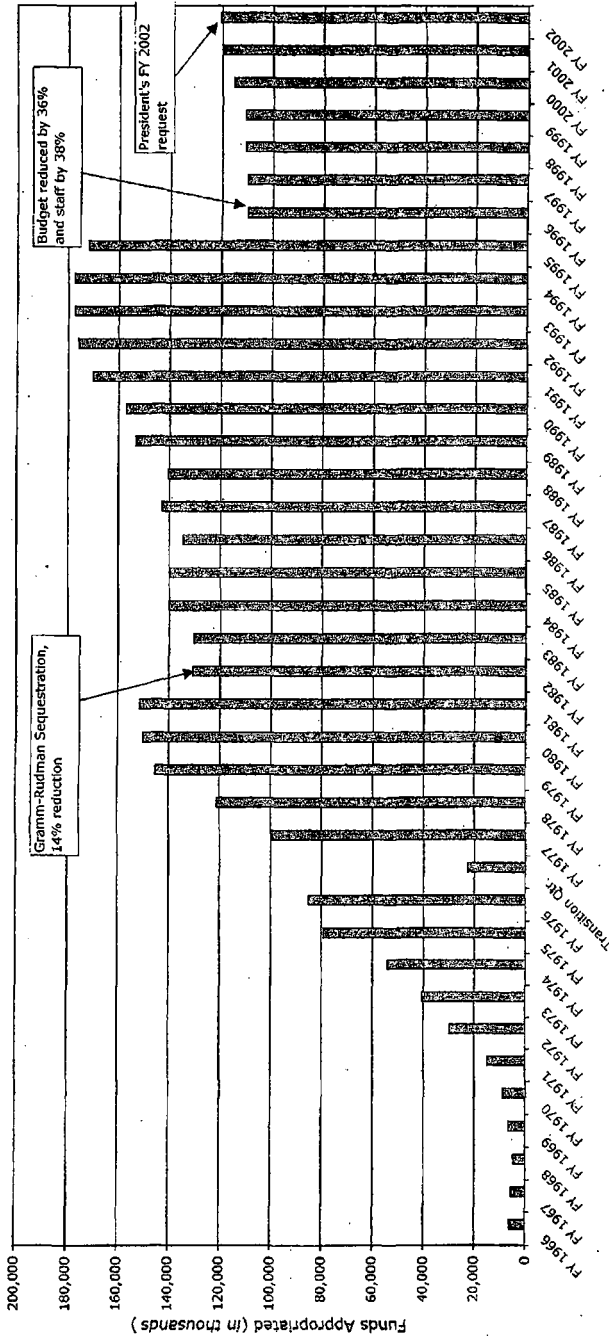
Answer: *Requested table and graph are attached.*

Question 8. Also for the record would you tell the Committee how you would invest the additional funds in FY 2002 if Congress could get the NEH up to the \$150 million level in last year's budget. Please list initiatives in priority order.

Answer. As NEH Chairman William Ferris stated at the House Interior Appropriations hearing, funding at the request level of \$120.5 million would allow the agency to continue its many efforts to provide high quality humanities projects and programs for the American people.

If Congress were to provide additional funds to NEH in FY 2002, we can assure the committee that we would use this money wisely in support of high quality humanities programs. However, we would first need to have conversations with the White House and Congress before setting forth our priorities.

NEH Historical Appropriations



Statement of Beverly Sheppard
Acting Director, Institute of Museum and Library Services
For the Appropriations Subcommittee on
Interior and Related Agencies
U.S. House of Representatives
May 16, 2001

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Acting Director, Institute of Museum and Library Services
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Chairman Skeen, Congressman Dicks and Members of the Subcommittee:

Thank you for this opportunity to provide a statement on behalf of the President's budget request for the Institute of Museum and Library Services for the fiscal year 2002. The request for the Office of Museum Services is \$24,899,000. Mr. Chairman, I would like to express our thanks to you and members of the subcommittee who have supported the work of our Nation's museums over the years.

Museum Facts

As you know there are 15,000 museums in the United States – they are art, history and children's museums, natural history, science centers, planetariums and zoos. Our museums care for the materials that represent our cultural heritage – they care for an astounding 750 million objects and specimens. Each year they host over 865 million visits-- a 50% increase from just a decade ago. Over that time museum going has become a richer and more inclusive experience as museums seek to attract wider audiences.

Trusted Resources

A recent study released by the American Association of Museums reports that 60% of Americans say they have visited a museum in the last year. This same study reports that the public has great trust in museums with almost 9 out of 10 Americans finding museums to be trustworthy. The report attributes the public's trust in museums to three themes: they present history, they are research oriented and they deal in facts. This is good news but also speaks to the significant responsibility our society has to support museums in carrying out their unique public service role.

The Federal Role

The President's request for the Office of Museum Services underscores that museums are indispensable members of our learning communities and have critical responsibilities to students of all ages. Building the educational capacity of museums and sustaining equitable access to their resources is at the heart of the federal vision for these vital institutions.

Federal support for these powerful centers of learning is an investment in education, in families and children, in wide access to museum resources, in communities and in our cultural heritage. Funding from the Institute of Museum and Library Services is targeted and strategic. IMLS grants and services are a catalyst for leadership. For 25 years IMLS has used these precious Federal funds to strengthen museum operations, improve care of collections, increase professional development opportunities and enhance the community service role of museums.

With its dual responsibilities as administrator of federal grants for museums *and* libraries IMLS plays a unique role in the development of partnerships between these institutions and among museums and libraries and other community institutions. This intersection of learning institutions creates a powerful synergy and a new array of services for schools and lifelong learning.

IMLS uses this unique position to champion the role libraries and museums play in our society. The Agency promotes the broadest public access to museums and libraries, stimulates vital research, new technologies and training, supports community partnerships and establishes standards of excellence in all levels of institutional operations. IMLS places a high priority on evaluating results and disseminating promising practices. Through its publications and systematic training of grantees IMLS has taken a leadership role in helping museums and libraries measure results.

The Institute of Museum and Library Services strives to build the capacity of museums and libraries to face the new challenges of a learning society. This fall, IMLS will host a conference to address the need for

bold new models of integrated action among formal and informal educational institutions in meeting the demands and interests of 21st century learners, and the particular potential for museums and libraries to inspire such action in their communities. As 21st century learners we are faced with unprecedented challenges and opportunities. Our society demands that we continue to learn throughout our lifetimes. We are faced with dramatic advances in technology, increasing diversity of our populations and great concerns about education in an information age. All of these trends result in increased public demand for museum and library service

Partners in Education

Education is central to the work of museums. Museums are doing their part to ensure that no child is left behind in school or after-school.

- Museums' commitment to education programs for schools is increasing. Seventy percent or more report an increase in numbers of students, teachers and schools served in the last five years.
- The vast majority of museums (88%) provide K-12 educational programming. They are museums of all types, from all regions, representing inner-city, suburban and rural communities.
- Museums in the U.S. spend \$193 million annually on K-12 programs.
- Seventy percent of museums have at least one full-time paid staff who offers K-12 educational programming.
- Collectively, American museums provide nearly 4 million hours on educational programs.
- Museums report substantial use of school curriculum standards in shaping educational programs for a variety of school subjects.
- Museums offer a wide range of learning activities, such as teacher training, staff or docent guided tours and museum staff visits to school classrooms. Museums also provide resource kits/learning trunks or traveling exhibits to schools.

These are just some of the many ways in which museums and libraries serve America's communities:

- With help from a National Leadership Grant, the North Carolina Museum of Life and Science in Durham, has partnered with the Durham County Library and the Durham Public Schools to **develop creative science and literature programming for 4,000 local elementary school students**. The partners will also enlist the help of area inner-city teens in the new programming, thereby creating meaningful work experiences for the teens.
- As a beneficiary of the National Leadership Grant program, the Montgomery Museum of Fine Arts in Montgomery, Alabama is giving a series of **free after-school art lessons to children grades 3-6 in high-crime neighborhoods**. The project serves as a component of the U. S. Department of Justice's "Weed and Seed" program, the goal of which is to involve the community in an effort to prevent, control, and reduce violent crime, drug abuse, and gang activity.
- The Tennessee Aquarium in Chattanooga is using a National Leadership Grant to partner with two other area museums, the Chattanooga-Hamilton County Bicentennial Library, and several city agencies, including the Mayor's office, the Department of Parks and Recreation, and the Housing Authority. **This impressive partnership is pooling resources to build an after-school program**, focusing on science and art education, literacy and library use, and behavior and social skills that will enrich the lives of local children living in public housing complexes

Museums Build Relationships that Last a Lifetime

The museum is an important center for everyone: families, children and adults. Museums offer an intergenerational learning experience and learning throughout life. Museum going is an activity that many families use to share a love of learning. Museum going as a family can provide children with a gift that will last a lifetime, an experience which that child can continue to draw upon and revisit into adulthood, share with friends and share with his own children.

IMLS supports this learning throughout a lifetime with grants that help museums serve learners from infancy to old age. For example:

- Seattle, Washington's Museum of History and Industry used a National Leadership Grant to partner with the Seattle Public Library to develop a **neighborhood history program**. "Nearby History" puts a museum historian in Seattle area branch libraries to help residents of all ages learn more about the area's history through educational programs, library research, and access to museum collections.
- The Cayuga Nature Center in Ithaca, New York is using a National Leadership Grant to partner with local Head Start and child care centers to develop **natural science resources for pre-school children**. The educational curriculum will expose pre-schoolers to nature and natural sciences in a fun, educational way. Day care center staff will also be trained to integrate the resources into their own programs.
- With help from a General Operating Support grant, the Children's Museum of Arkansas in Little Rock offers **free programs two Friday evenings each month for area families**. The museum sponsors performances by musicians, storytellers, puppeteers, and magicians. Many families otherwise unable to afford similar educational enrichment programs have become regular visitors to the museum.
- The Allen Memorial Art Museum in Oberlin College, Ohio is tapping into the power of the Internet to reach people of all ages. A National Leadership Grant is helping the museum develop an **online searchable database of images from the museum's collections**. The images will include explanatory texts for varied audiences – from scholarly to school-age – plus an interactive question and answer section. This site will provide educational art resources to researchers, teachers, students, and the general public.

Innovations to Expand Access

Museums are entrepreneurs and innovators. They are finding ways to reach new audiences by taking the museum into the community. IMLS grants help these ingenious leaders to dream a new world where the museum experience can be accessed in fresh ways.

- In the "Museum Without Walls" (WoW) project, funded by the National Leadership Grant program, the Chicago Academy of Sciences in Chicago, Illinois is creating **six web-based interactive exhibits and programs to bring science and the museum experience alive online**. This project will provide a working model that will break the geographic and financial barriers to new audiences and provide broad access to an informal learning environment.
- The Fort Hill – Home of John C. Calhoun in South Carolina discovered firsthand how **technology can help them learn more about their own artifacts and collections**. A General Operating Support grant allowed the museum to upgrade their computers and buy new collections management software. With these new tools, the museum has digitized their collections and included them in an artifact database. The museum is now using these electronic collections records for online exhibits and including images of artifacts on their website for the public.
- With help from a National Leadership Grant, the Minnesota Historical Society in St. Paul is developing an **electronic learning center for the study and teaching of Minnesota history**. The project will develop a website to electronically connect students, teachers, and the general public to historical resources from the Society, libraries, and archives. Teachers will also find curriculum activities tied to state and national history standards and an online discussion group.
- The Maine State Museum in Augusta, Maine, in partnership with Maine PBS, is **documenting Maine's history with funds from a National Leadership Grant**. The project includes development of television

programs, museum collections and exhibits, Web-site content, and related educational curriculum to bring historical materials and museum collections to Maine's largely rural audience.

- General Operating Support funds helped the Museum of New Mexico in Santa Fe expand their "Van of Enchantment". This mobile museum facility is outfitted with museum artifacts and mini-exhibits, computers with Internet access, a work space with art materials, and a research library. The Van travels across the state to rural communities, bringing a museum experience to those who might not be able to visit the museum. While on the road, museum staff are also collecting oral histories, music, and stories from residents to add to the richness of their community collections.

Centers of Community Development, Civic Engagement and Economic Development

The stereotype of museums is that they serve a privileged few. That view is a far cry from the inclusiveness and breadth of service of today's museums. People depend on museums as focal points in their community's cultural landscape. Through imaginative programs and partnerships with business and civic organizations, museums make a variety of experiences and a breadth of knowledge available to everyone.

- The New Jersey Historical Society in Newark is partnering with a local university, a day-care center, and the Urban League to enhance parenting skills for teen parents. The teen parents and their children visit area museums and learn how to use museum resources in teaching to their children. This project is supported by a National Leadership Grant.
- The Arizona Science Center in Phoenix is partnering with the Phoenix Preparatory Academy and the Valley Big Brothers-Big Sisters to implement a Computer Connections after-school program. Funded by a National Leadership Grant, the project will offer technology training to children, teachers, and mentoring volunteers. Participants will work on a series of computer-related projects in technology, art, science, robotics, and music to help them become comfortable with computers.
- The Belknap Mill Society in Laconia, New Hampshire has cultivated a network of partnerships to revitalize its economically depressed downtown by serving as a meeting place for businesses and families, coordinating publicity with local merchants, participating in city events, and drawing new audiences into the city. The Society led the way in creating a new park, which serves as a venue for concerts and walking tours which attract people to the downtown area. This work has been supported by a National Leadership Grant and a General Operating Support grant, and the museum was recognized for their efforts by a National Award for Museum Service.
- A National Leadership Grant allowed the Pennsylvania Federation of Museums and Historical Organizations in Harrisburg to conduct a study of the economic and educational impact of museums and historical organizations on the local economy. The survey results and data will be shared through a series of workshops around the state to show the quantitative impact of museums' contributions to Pennsylvania's economy and educational resources.
- The Georgia Association of Museums and Galleries in Albany, Georgia enhanced the role of museums in promoting cultural tourism throughout the state by developing a directory to the more than 300 cultural organizations in Georgia. Supported by a National Leadership Grant, the brochure is available online, and through the Georgia Department of Tourism's visitor centers and offices.
- The Old Sturbridge Village in Sturbridge, Massachusetts goes to great lengths to ensure that their living history museum is accessible to the disabled. Since the museum consists of historic buildings connected with outdoor paths, making the facility accessible while maintaining the historic integrity was a challenge. IMLS General Operating Support funds helped Old Sturbridge Village stabilize the dirt paths to make them wheelchair accessible, construct unobtrusive ramps for some of the historic buildings, and developed pamphlets of photographs, floor plans, and interpretive text for those

buildings that could not be made wheelchair accessible. The Village has also developed a sign language interpretation program available on request for hearing impaired visitors, plus tactile samples of historic objects so that visually impaired patrons can still experience the past.

Holding Back the Hands of Time

A lot goes on “behind the scenes” in museums. Research and conservation activities are an investment in cultural heritage for the future. IMLS conservation programs have had a phenomenal impact on museums’ approach to caring for collections. IMLS has invested in preventative conservation assuring that dollars are well spent and that future generations will be able to use the objects and collections that connect us to our cultural, artistic, historical, natural, and scientific heritage.

- The Peabody Museum of Natural History at Yale University in Connecticut is in the midst of a **long-term project to improve environmental conditions at the museum and conserve their collections.** The 11 million specimens at the Peabody Museum provide a remarkable record of the history and development of earth, its life, and its cultures. As species become extinct or change throughout time, these collections become more important to document the world’s natural history. The museum has received nearly \$350,000 in Conservation Project Support grants over the past ten years to improve the humidity and lighting conditions in the museum and its storerooms, to move collections to better storage facilities, and to clean and conserve individual objects. All of these preservation activities have been essential to conserve the specimens for researchers now and in future generations.
- The Weston County Museum District in Newcastle, Wyoming has already put their recent Conservation Assessment Program grant to good use. The grant paid for a conservation professional to visit the museum and make recommendations on how to improve their conservation practices. The museum and its stakeholders are now engaged in **brainstorming sessions to develop a long-range conservation plan for the collections and buildings in the museum district.** The report helped them see new ways to raise funds, apply for grants, and implement preservation activities. According to the museum director: “Thanks to IMLS, we now feel we are on the right path to improve both our museums and care for our area’s cultural artifacts.”
- The Mariner’s Museum in Newport News, Virginia has benefited from three Conservation Project Support grants in the past four years to **improve the care of their collections.** Various projects have been undertaken with these funds: new storage units were purchased to rehouse the Museum’s collection of photographs; conservation supplies and steel cabinets will protect a significant collection of pre-1900 maps that document the growth of countries and political struggles; and to treat over 100 birch bark and spruce canoes.

President’s Budget

I strongly urge the Committee to support the President’s request for the Institute of Museum and Library Services of \$24,899,000. This federal investment in education and lifelong learning will earn great dividends for the American people.

Institute of Museum and Library Services
FY 2002 Questions from Subcommittee on Interior and Related Agencies

1. Your new budget request provides a small decrease for your main category, operating support grants, and nearly level funding for other activities. How do you determine the relative balance between operating support grants and the conservation grants and national leadership grants to museums?

Each of these grant areas addresses central issues. All provide impact well beyond the Federal expenditure. In making decisions about how to allocate this very small decrease the overriding concern was to continue to support as many museums and high quality applications as possible. Because the amount of money allocated to General Operating Support far exceeds the amounts allocated to the other programs, GOS more easily absorbs this small decrease.

2. If we fund your request for basically level funding for operations and conservation support, will that result in a real decrease in services to the Museum community due to inflation and fixed cost increases of recipients?

IMLS will continue to support the highest quality applications. One of the hallmarks of Federal funding is its capacity to leverage funds from other sources. A grant from IMLS for General Operating Support, National Leadership, or Conservation Project Support signals to other funders that this is a program of high quality that has been reviewed by experts in the field. IMLS is never intended to be the sole funder of a particular project. However, because institutional costs continue to rise, level funding means the museums must seek additional non-Federal funding to compliment IMLS support. Another result of level funding is that fewer institutions can receive support.

For example, award amounts in the General Operating Support program are calculated based on the size of the applicants operating budget. The award amount is equal to 15% of a museums operating budget to a maximum of \$112,000. The average amount of the award increases each year as museum budgets increase. In 1998, 52% of the institutions receiving awards received the maximum award; in 2000 the percentage was 57%. This results in a slight decrease in the number of awards the agency can make.

With level funding IMLS will continue to be a catalyst for leadership. Museums are behind in the technological revolution, and that means their public service is not at the level it could be, leaving the public disadvantaged. Federal leadership is critical in this area to help focus attention on issues that affect access to museum resources, and to start providing models of access across the museum community in institutions of differing sizes and disciplines. Federal leadership can help fund these models and disseminate them across the field, so museums can optimize their use of limited resources.

3. How is IMLS balancing support for core services vs. emerging new issues in museums and libraries?

As museums work to serve their communities, new activities are added to their lists of core services. In particular, two issues - use of technology and service to community - are impacting the core activities of museums. We are seeing an increased demand for access to and use of technology to assist museums in reaching the public, managing internal affairs, and preserving their collections. Museums are creating web sites that bring their exhibits to those unable to visit, and provide collections-oriented curricula to support school programs. They are utilizing improved technology to control the environments for their collections and to make their institutions even safer and more pleasant places for their visitors.

Expanding service to community frequently means creating partnerships with other organizations in that community. Partnerships expand community access to museums. We see museums collaborating with other organizations, including libraries and schools, in new ways. These partnerships create new opportunities for problem solving and resource sharing for the participants, and serve audiences that may not have utilized museum resources previously.

IMLS provides funding for meeting these needs and other core services through all of its grant programs. In particular, National Leadership Grants fund partnerships through the Museums in the Community category and online activities through the Museums Online category, and Conservation Project Support funds uses of new technology for environmental improvements for collections.

4. The IMLS funding is such a small part of the funding existing in the museum community. What difference can these small grants make?

Through its support for the nation's museums, the Federal government recognizes and endorses the value of museums in American life. It acknowledges the critical work of museums in connecting all Americans to the cultural, historical, natural, and scientific understandings that shape our society.

Federal funding raises the professional standards of museums through an investment in best practices. It is a catalyst for new thinking, creating leadership models and it is an incentive for collaboration, stimulating community partnerships. As an investment in quality, Federal funding also leverages financial support for museums from the private sector and from State and local governments.

IMLS funding opportunities for museums are carefully structured to maximize the Federal investment:

- General Operating Support rewards quality. Recipients must demonstrate the highest professional standards in museum operations at all levels. This highly competitive grant has been a model for excellence among America's museums. For over two decades the practice of Federal awards for excellence has been a catalyst for museums nationwide to improve their professional practice. Over the years the application form for the General Operating Support grant has evolved as standards in the field have evolved. The result is that the application process itself has played a role in the articulation of standards. Each year hundreds of museum professionals take part in the review of General Operating

Support applications and their comments and feedback to applicants provide a mechanism for nationwide exchange and dialogue about quality and excellence. This program has demonstrated the impact of Federal funding throughout the museum field, creating widely held definitions of excellence in practice.

- Conservation Project Support brings a Federal spotlight to the needs inherent in protecting and caring for our natural and manmade heritage. It, too, has demonstrated standards, leveraged funding, and stimulated comprehensive planning. The field widely acknowledges the impact of this program on establishing the methodology by which museums assess their conservation needs, plan for their implementation and educate the public about caring for its treasures.
- National Leadership Grants embody Federal leadership. They are structured to stimulate the best thinking in the museum field to address emerging issues and problems. Museums in the Community and Library and Museum Collaborative Grants demonstrate partnership as a contemporary strategy for problem solving and resource sharing. Professional Practices grants illustrate how well-placed seed money can maximize the reach of training and professional development. Museums Online is boldly addressing how museums and their rich content can become part of America's quest for information and lifelong learning.

The impact of these Federal programs is to bring attention to the challenges facing museums, to seed research and creativity in solving new programs, to develop and disseminate best practices and to endorse at the highest possible public level, the role of museums in American life.

5. The Administration and the congress are very interested in improving education in America. To what extent does the new educational policy of this Administration have specific references to museums as educational resources, both for children and for life-long learning?

Museums are long-standing and valued partners in a number of programs that received support from the Bush Administration such as: 21st Century Community Learning Centers, Charter Schools, and GEAR UP. Museums and schools are natural partners. Many of these museum education programs are integral parts of the school curriculum and are developed in partnership with school administrators and teachers.

Museums are also partners in the learning throughout the lifetime. They have helped the National Science Foundation reach goals in informal science education and the Department of Commerce expand innovative practice in technology through the Digital Opportunity program.

The IMLS budget itself is a reflection of the continued recognition of the educational role museums play.

6. What will your funds help museums and libraries do to increase the quality and accessibility of education in this country? How is that different from funding provided by other Federal agencies?

IMLS differs from other agencies because it is the only Federal agency devoted solely to museum and library funding. IMLS differs from other agencies because its mission is not driven by content or curriculum but rather to assure that our nation's museums and libraries have the capacity to meet the public demand for their service.

A recent IMLS study demonstrated that schools are increasingly seeking museums as partners in education. Museums are increasingly working with schools to ensure that their programs and services contribute to the teaching of curriculum. The study showed that 88% of museums have programs to support K-12 education and that museums spent at a minimum \$164 million a year toward helping schools teach students.

IMLS funding assists museums and libraries in their role as centers for lifelong learning. The great majority (over 80%) of museums receiving General Operating Support from IMLS direct the funds to enhance their education programs. Museum education activities are subject matter driven, utilizing the valuable collections held by all types of museums, and they not only reach children in schools, but also reach the general public, the elderly and other target audiences that individual institutions identify within their communities.

IMLS funding helps museums to increase the quality and reach of their programs by funding a wide range of activities, including support for on-staff educators, training for teachers, website access to standards-based curricula utilizing collections, and partnership projects between museums and other educational organizations.

7. Are any new funds requested which relate to enhancing the educational roles of museums, aquaria, and botanical gardens for Americans?

No new funds are requested in this budget.

8. How will you refocus general operating support grants to enhance education and public service?

The 1999 publication of the magazine *Daedalus*, dedicated solely to museum practice in America, underscored the repositioning of museums in their communities in the past several years. More and more, museums are turning outward to meet public needs.

- They have accelerated their educational practices, working with schools more closely than ever before in their history.
- They are called on increasingly to support the demands for lifelong learning. They bring many assets to this service: they reach all ages; they are core destinations for families learning together; and they are active sites for after school programming and safe havens for students at risk.
- They are challenged to use technology in service of their public dimension. To build access and service, they need to explore multiple applications of technology, such as: participation in learning networks; development of interactive websites; use of distance learning; partnerships with broadcast media; and outreach to homebound audiences.
- They are encouraged to work collaboratively. Embedded in their communities, museums are seeking opportunities to meet community-based needs. They may be catalysts for economic revitalization, centerpieces for cultural tourism, and

partners to social service providers. Museums continue to develop and share expertise in identifying and meeting these growing needs.

By refocusing General Operating Support grants, IMLS will expand the attention being given to the public dimension of museum operations and will encourage greater investment in this breadth of services. Just as GOS raised awareness of best practice in general operations, this refocus will share best practices in public service. Using the GOS program as the means to encourage the growth of museums in their educational and public outreach roles still gives museums the flexibility to apply funding to the areas of greatest institutional need. IMLS believes such support, which will continue to reward excellence, will also encourage the field to define excellence in these specific areas.

IMLS is presently engaged in conversation with the museum field about these possible changes and has undertaken a formal evaluation of the past ten years of GOS. Specific changes to the program's format, as well as application and review process, will incorporate findings from this open process.

9. What activities that you previously prioritized will fall by the wayside in order to allow increased educational emphasis, without increasing funding?

IMLS does not envision the shift in GOS focus to result in the neglect of core museum activities. It is seen instead as a stimulus to sharpen institutional awareness and articulation of its public dimension. It should serve as a catalyst for the work of both staff and board in prioritizing these services.

Currently GOS funding does not state priorities. Consequently, funds can be directed to greatest institutional needs, including all aspects of staffing, collections care, security and maintenance, governance, exhibition development, audience development and interpretive services. Museums receive funding over a two-year period and have been consistently cautioned not to rely on GOS as core funding, but to use it as effectively as possible to invest in enriching institutional practices and services. Despite its name, GOS is not considered the source of funding for light bulbs and maintenance supplies, but has been seen as the funds that allow new growth and service. Consequently, for the past few years most museums receiving funding have reported its use toward educational, marketing and outreach purposes. The proposed shift will solidify and endorse what has already been identified as a growing priority.

Seen in the light of the Federal investment in museums, GOS will continue to support museums that are models for leading professional practices. The breadth of professional practices established by the GOS program will remain at the core of the Museum Assessment Program and will still set the standards for excellence in operations.

10. What's going to come out of the 21st Century Learner initiative?

IMLS sees the 21st Century Learner initiative as an outstanding example of the role of Federal leadership. Along with identifying and supporting the core needs of museums and libraries, the agency is also keeping abreast of the context in which museums and libraries will continue to operate in the future. Central to this context is a new definition of America

as a learning society. Libraries and museums can anticipate bold new opportunities to extend broader and deeper educational experiences and content to the American public than ever before in history. And they will do so in concert with many other institutions and organizations, including higher educational institutions, public broadcasting, performing arts, and others.

IMLS' responsibility within this changing environment is to address the readiness of museums and libraries to participate fully and to make certain that they are "at the table" as new opportunities and strategies are developed. The *21st Century Learner Initiative* is convening the leadership among many of the institutions within the informal learning sector to identify the potential for working creatively and collaboratively in this changing educational environment. It is developing and fueling a "community of discourse" -- an ongoing and expanding conversation with museum, library and community leadership to define the needs of learners and prepare to meet them.

To date, the Initiative has included:

- Two gatherings of museum and library leaders, along with representatives from other non-formal educational institutions, to articulate opportunities and challenges toward expanding our educational roles;
- The development of a Steering Committee bringing multiple voices to the conversation;
- The publication of a position paper articulating a vision for museums and libraries;
- An invitation to participate in the conversation by posting papers or building links to the IMLS website;
- A series of open forums at professional meetings across the country.

Next steps include:

- The ongoing identification of model projects, including many funded by IMLS, that illustrate innovative and collaborative approaches to meeting the needs of learners of all ages;
- A national conference to be held in Washington on November 7-9, 2001.
- Cultivation of the interests of private funders in support of a broad series of demonstration models of best practices in informal education. Such practices may include: innovative use of technology in reaching new audiences, the development of combined digital collections, learning partnerships between such entities as museums and public broadcasting, etc.

Both the established activities and those planned for the next year will be widely disseminated and discussed at professional meetings to build the foundation for museum and library readiness in a changing society.

11. Your budget justification mentions that you plan to give special attention to the upcoming Lewis and Clark bicentennial. What specific actions, and what funding, is anticipated?

The Lewis and Clark Bicentennial provides an opportunity for museums and libraries to join the public commemoration of this important event. IMLS is proud to be a participant in the Federal MOU together with over 20 agencies that will recognize this event with special

initiatives. We know that museums and libraries expect increased visitation due to heritage tourists, providing them with the challenge and opportunity of serving new audiences.

In recognition of this increased usage, IMLS plans to assist small museums prepare for this increased usage by encouraging them to apply to the Museum Assessment Program and Conservation Assessment Program. Both programs offer special assistance to small institutions in areas of general administration, collections management and care, and public programs. By funding assessments for these small museums, IMLS will help them improve their operations and better serve their publics.

IMLS also plans a special initiative as part of its leadership programs. The agency is recognized within the museum and library fields for listening and responding to their needs. Accordingly, we are in the process of gathering input from institutions in the States on the bicentennial trail and conversing with State bicentennial representatives to establish guidelines for funding that will compliment activities in those States. While we have no funds appropriated for this initiative, we expect to draw from leadership grant funds in both the museum and library budgets to fund this effort.

12. The museum assessment programs and the conservation assessment program both provide important services to the museum community and result in increased quality and efficiency of institutions serving the American public. What percentage of institutional requests and need are you able to service with the requested funds?

Both the Museum Assessment and the Conservation Assessment Programs are non-competitive programs that provide professional assessments for museums in broad areas of museum operations. The majority of applicants are small museums. Applications are funded on a first-come, first-served basis. In 2000, the Conservation Assessment Program funded 94% of applicants; in 2001 we expect to fund close to 97% of the applicants. Those institutions which do not receive funding are encouraged to reapply in the next fiscal year. The funding for Museum Assessment Program has met the demand placed on the program for the past several years. This year IMLS will pilot a new assessment which addresses museum governance, an issue of great importance for museums. We anticipate that the demand for this assessment in addition to the established offerings may result in more requests for the program than funding will allow. Those applicants who do not receive an award will be encouraged to reapply.

13. The OMS has one of the lowest overhead rates of any agency in the Interior bill. How do you do it?

Hard decisions must be made continually on the expenditure of administrative funds for OMS. Wherever possible, activities are kept to a minimum to maximize funds available for grants and cooperative agreements. Common agency activities that benefit both the museum side and library side are charged whenever possible to both appropriations. Even so, some activities have had to be eliminated in order to save costs, such as paying honorarium to reviewers of applications, an activity that takes each reviewer as many as 40 hours or longer. IMLS has taken on the following additional programmatic activities without the addition of any staff members at the Program Officer level: Save America's Treasures, National Award for Museum Service, National Leadership Grants/Museum-Library Collaborations.

Administrative expenses that have increased in recent years (absorbed within existing allocations) include: interagency costs (in support of IT maintenance and for the negotiation of indirect cost rates), equipment replacement, commuting subsidy, training in outcome-based evaluation, and increases in rent and communications.

14. What are your fixed cost increases for FY 2002? Does your requested increase for Federal administration cover all of these costs?

Administrative costs borne by the Office of Museum Services are projected to increase by \$98,000 over FY01. To cover these costs, the agency will fully utilize the \$47 increase in funding requested over funds enacted last year, decrease costs where possible in other object classes, and delay hiring to fill staff vacancies to utilize savings created by the lapse. These fixed increases are itemized below:

- \$47: Personnel (COLA/locality pay, benefits, series and within grade promotions of existing FTE positions)
- \$25: Database migration residual costs (to eliminate use of WANG)
- \$15: Commuting subsidy
- \$11: Fixed operating costs (payroll, guards, cabling+electric, maintenance, etc.)

15. We understand that you may be asked to move out of your building soon. What is happening on this move? Does your request include any funds to cover the costs of the move?

To our knowledge GSA still wishes to move the Federal tenants currently in the Old Post Office to another location. GSA's latest estimate of when this move is likely to occur is not before mid-2003, so no moving costs are included in the budget request for 2002. As a forced move, GSA is expected to fully fund costs of the physical relocation. Even so, the agency will incur some costs such as space modifications and some furniture changes to adapt to the new floor plan. These costs were left out of the current budget request based on the time estimate GSA has provided, but if GSA's schedule is unexpectedly moved up we will incur some of these costs in 2002.

16. In the recent past you had large increases in rent costs. Is that stabilizing?

The rent cost is based on GSA's rent estimates provided to the agency in September 2000. We envision the rate will not be stable, based on such variables as the planned move out of the Old Post Office and the agency's need for additional growth and meeting space.

17. Please outline specifically what funding is being requested for technology and how these programs relate to other technology and digitization efforts by your sister agencies in the National Foundation for the Arts and Humanities.

The IMLS Office of Museum Services has a unique role in that its primary focus is the institutional advancement of all types of museums, from art to zoo, urban, rural and suburban across the United States. Together the Nation's museums are powerful forces in education and lifelong learning. They hold collections and exhibitions that invite exploration of our artistic, scientific, natural, and cultural heritage. Advances in communications and

technology present challenges and great opportunities to enhance the use of and access to our Nation's museums.

Increased interest in developing digital libraries for education encourages museums to prepare their collections to be shared nationwide through technology. An IMLS study, initiated in 1999, identified the central issues museums face in digitizing collections and sharing information. This study established clear guidelines for Museums Online and continues to share common standards in the museum field for addressing complex technological issues.

Last year, \$1.6 million was awarded for these Museums Online. In 2002, the program will build on the findings of a national research study, which will be conducted by IMLS in FY2001, to assess the technological readiness and capacity of museums. The study will assist IMLS in targeting funding to ensure that the nation's schools and households have access to the cultural, historical and scientific collections housed in the nation's museums. Through online accessibility, museum resources should become core educational materials to all people seeking lifelong learning experiences.

18. What has been your involvement in the inter-agency effort implemented because of a Presidential memorandum of December 17, 1999 on the use of technology to improve our society?

The Institute of Museum and Library Services acts as a catalyst for technology innovation to meet the needs of all learners in an information rich society. Since 1998, IMLS has provided grants to State library agencies and to individual libraries for research, digitization, and management of digital resources. Grants also address critical preservation and interoperability issues. Since 2000, IMLS has supported museums' efforts to build electronic networks and use technology to make their resources more accessible.

IMLS has held two annual national conferences entitled "Web Wise: Museums and Libraries in the Digital World." These conferences spotlight innovative work using technology to expand access to museum and library resources. The last conference, which took place on February 12-14, attracted over 200 scientists, engineers, historians, archivists, curators, and librarians from around the country to Washington, DC to share their latest research and newest digital technologies with the nation's universities, museums, and libraries.

The Congressional Internet Caucus has recognized IMLS work in this area and featured six IMLS technology projects at the annual Congressional Internet Caucus Reception and Technology Fair on February 14, 2001, sponsored by the Internet Caucus Advisory Committee (ICAC). The Internet Caucus is a bipartisan group of over 150 members of the U.S. House of Representatives and the U.S. Senate working to educate their colleagues about the promise and potential of the Internet. The featured projects included: "Project HOW: History on the Web," The Hannahville Indian Community of Wilson Michigan; "A Digital Archive of London," Tufts University in Boston, Massachusetts; "The Colorado Digitization Project," University of Denver, Colorado; "Lester S. Levy collection Music Recognition Project," Johns Hopkins University, Baltimore, Maryland; "INSIDE Idaho," University of Idaho, Moscow, Idaho; and "Adaptive Technologies for Disabled Users," Massachusetts Board of Library Commissioners, Boston Massachusetts.

IMLS is also partnering with the National Science Foundation, which has recently received \$25 million to continue development of the National Digital Library for Science, Math, and Engineering Technology Education (SMET). IMLS grantees will participate in the development of this digital library.

IMLS is interested in efforts to develop an infrastructure to provide seamless access to the digital collections it is helping to create. Models exist in the Library of Congress' National Digital Library as well as in the National Science Foundation's SMET. IMLS recently funded a meeting convened by the Council on Library and Information Resources on building and sustaining digital collections for museums and libraries. This meeting included representatives from libraries (including Library of Congress) and museums in the United States and the United Kingdom and Germany, as well as representatives from the private sector, to discuss potential collaborative partnerships that could provide the stability needed to preserve digital collections over the long term as well as to improve access to them. IMLS will continue to facilitate such discussions.

19. As you know, the Committee supported some national leadership grants last year but we were concerned that there might be efforts to change these grants from competitive awards for excellence to congressionally earmarked funds. What has been accomplished to date with the national leadership awards? Are these awards an important part of your efforts to bring the strengths of the museums and library community together?

National Leadership Grants for museums are funded in four categories: Museums in the Community, Museums Online, Professional Practices, and Museum-Library Collaborations. A list of grantees is attached.

These areas of funding allow IMLS to fund innovative, problem-solving collaboration and the development of replicable models that can extend the impact of Federal dollars. The program addresses the most pressing needs of the museum community today, especially in the areas of incorporating new technology, addressing emerging community needs and establishing partnerships that extend museum service. The projects bring museums together with many different partners in their communities, including libraries, schools, community centers and other organizations.

We are excited by the projects that were funded in 2000, the first year of this program. They represent excellence of both thought and action and will serve as models for the museum community. While these projects will not be completed for another year or so, reports of activities undertaken so far are very promising. These grantees are among the first that IMLS trained in Outcome Based Evaluation, designed to help grantees evaluate the impact of their projects on the communities they serve.

20. The fiscal year 2001 appropriation from the other appropriations sub-committee included numerous Congressional priorities for specific museums. Please include a table listing the earmarks for museums which were included in the Labor-HHS-Education bill.

The FY 2001 appropriation for the Office of Library Services included \$39,219,000 in funds for 62 separate Congressional priorities for museums and libraries. In addition, \$250,000 was included in the Miscellaneous Appropriations Act for a museum project to be administered by IMLS. Of this funding, 39 of the projects were for museums, for a total of \$21,007,000. A list of these museum projects, including institution name, amount, and description as provided by the appropriations language follows:

Institution Name	Amount	Description
A.E. Seaman Mineral Museum	\$410,000	
Alaska Native Heritage Center	\$500,000	for a portion of the New Trade Winds project;
Berman Museum of Art at Ursinus College	\$850,000	for expansion of an arts education program and community outreach activities;
Bishop Museum	\$650,000	as part of the "New Trade Winds" project;
Children's Museum of Los Angeles	\$850,000	for development of exhibits, educational programs and teacher training;
Clay Center for the Arts and Sciences	\$1,000,000	for a multimedia display screen, and the fabrication and design of a science exhibit;
Ducktown Arts District	\$150,000	to expand access to cultural arts programs;
DuPage Children's Museum	\$461,000	for educational programming;
Fenton Historical Museum	\$120,000	
Fitchburg Art Museum	\$213,000	to expand public access through technology upgrades;
Foundation for the Arts, Music, and Entertainment of Shreveport-Bossier	\$250,000	
Franklin Institute Science Museum	\$576,000	for the Design of Life exhibition;
George C. Page Museum	\$723,000	to expand education and outreach programs;
George Eastman House	\$170,000	to digitally archive and catalog photographic collections;
Heritage Harbor Museum	\$900,000	for cataloging of materials and operations;
Lake Champlain Basin Science Center	\$400,000	for exhibits and programs;
Linn County Historical Museum	\$150,000	in support of the "This Old Digital City" project;
Long Island Maritime Museum	\$250,000 *from the Misc. Approps Act	for expansion of the marine biology program
Louisville Zoo	\$500,000	Diane Fossey Mountain Gorilla program;
Mississippi River Museum and Discovery Center	\$1,200,000	for exhibit and library enhancement;
Mystic Seaport Museum and Museum of American and the Sea	\$298,000	to develop an informal learning laboratory;
Nassau County Museum of Art	\$128,000	to expand educational programs for elementary and secondary students;
National Aviary in Pittsburgh	\$425,000	in collaboration with Carnegie Mellon University, to develop and utilize interactive mobile robots in support of distance

		learning;
National Museum of Women in the Arts	\$1,000,000	
Natural History Museum of Los Angeles	\$250,000	to continue outreach and educational activities;
New Bedford Whaling Museum	\$723,000	for exhibits, technology upgrades and to expand public access;
New York Botanical Garden	\$85,000	to expand access to plant specimen database;
North Carolina Museum of Life and Science	\$128,000	for development of BioQuest exhibits;
Old Sturbridge Village	\$723,000	for the development of a distance learning project.
Oregon Historical Society	\$150,000	Permanent Exhibition;
Perkins Geology Museum – University of Vermont	\$400,000	to digitalize its collection
Pittsburgh Children's Museum	\$250,000	
Please Touch Museum	\$925,000	
Roberson Museum and Science Center	\$128,000	for an educational science and engineering pilot program;
Salisbury House Foundation	\$650,000	to improve security and preservation of its collection;
Southeast Missouri State University River Campus	\$2,600,000	to restore the historic former St. Vincent Seminary for museum programs;
The Mariner's Museum	\$921,000	for library archival and educational programming;
Walt Whitman Cultural Arts Center	\$400,000	to expand cultural education programs;
Wisconsin Maritime Museum	\$500,000	for interactive exhibits;

21. Please provide a table which lists number of grants and grant amounts for the past two years for various categories of museums, such as cultural, art, industrial, natural history, zoos, botanical gardens, anthropological, general, etc. Please use categories that are readily available and understandable to the museum community.

Museum Discipline	1999		2000	
	Number of Grants	\$ Awarded	Number of Grants	\$ Awarded
Aquarium	4	\$273,548	6	\$411,539
Arboretum	21	\$775,903	20	\$1,192,304
Art	101	\$4,900,845	98	\$5,014,492
Children's/Youth	15	\$867,494	18	\$1,135,091
General	94	\$2,912,043	77	\$2,802,938
Historic House/Site	92	\$1,610,176	86	\$1,883,191
History	136	\$2,732,206	158	3,480,430
Natural History/Anthropology	24	\$1,027,285	16	\$735,268
Nature Center	11	\$663,935	12	\$624,490
Planetarium	2	\$35,722	0	\$0
Science/Technology	9	\$539,125	10	\$931,940
Zoo	15	\$1,091,013	12	\$763,649

Specialized	81	\$2,554,702	76	\$2,381,949
Museum/Library Collaborations	4	\$1,000,000	5	\$1,000,000
Total	609	\$20,983,997	594	\$22,357,281

22. What complications arise now that your agency appropriation comes from two different Appropriations bills?

The creation of IMLS required the agency to undertake many new accounting and other management responsibilities previously not required of IMLS due to its smaller budget size and narrower range of activities. The added complication of administering two appropriations cuts into the time that could be spent on meeting these new challenges more effectively.

With the exception of a small amount of program funding reserved for joint programs between museums and libraries, agency program funds are distinctly separated for museum programs and library programs.

The management of administrative funds is more complex. There are a number of issues involved in tracking funds from two appropriations. Each account set up through Treasury carries with it separate accounting and corresponding schedules and reporting to OMB and Congress, compounding the accounting and reconciliation load which must be done for each account. In addition, even shared administrative costs are usually not an even split, and staff must determine the appropriate amount to be charged to each appropriation. Having the administrative appropriation come from one source would be a valuable streamlining step.

23. How do you determine the amount of funding to support your overall IMLS administration that should come from the Interior bill and from the Labor-Health and Human Services and Education bill?

We have established separate accounts with Treasury for the library appropriations from the Labor-HHS-Education committee in order to keep these funds separate from those appropriated by Interior. We also established fund and division codes for the activities of the Office of Library Services in order to identify expenditures of these funds made for operations of that office. Wherever possible, expenses are segregated by use of separate purchase orders citing only one fund and division. Each procurement document is analyzed by the Director of Policy, Planning, and Budget, who directs the account to be used prior to the obligation of funds.

For costs of goods and services that are shared, each obligation is identified with the specific amount that should be charged to each fund. The split is proportional to each office that should bear the cost. For instance, although we execute one agency purchase order for GSA rent, each account is charged according to the square footage occupied by staff and activities dedicated to that individual office rather than split 50/50. Salary costs of the Office of Library Services and Office of Museum Services are charged exclusively to the two separate

appropriation accounts. However, salary costs of members of the Director's Office staff are shared between the two appropriations, as each of these individuals work on overall agency activities that cannot be segregated to just one office.

In object classes where joint activity cannot be isolated to either fund, sub-object class codes have been initiated to denote shared costs. These are chiefly in printing, office supplies, and some staff travel, such as when the Director travels to address both museum and library groups.


INSTITUTE OF MUSEUM AND LIBRARY SERVICES
**2000 National Leadership Grants for Museums
Museums Online Awards**

- Allen Memorial Art Museum, Oberlin College, Ohio** \$141,329
Contact: Sharon Patton - (440) 775-8665
The Allen Memorial Art Museum will expand the availability of educational art resources on its Web site for researchers, teachers, students, and the general public. The new searchable database will include images from the collection, explanatory texts for different audiences - scholarly to school-age, and an interactive question and answer section.
- Chicago Academy of Sciences, Chicago, Illinois** \$250,000
Contact: Doug Widener - (773) 549-0606
In the "Museum Without Walls" (WoW) project, the Chicago Academy of Sciences will develop six online interactive exhibit experiences and programs to bring the museum experience alive online. This project will provide a working model that will break the geographic and financial barriers to new audiences and provide broad access to an informal learning environment.
- Lehman College Art Gallery, Bronx, New York** \$72,800
Contact: Susan Hoeltzel - (718) 960-8731
The Lehman College Art Gallery is developing "Public Art in the Bronx," an online multi-media guide to help teachers interpret local artwork - past and present. Grouped into ten neighborhood walking tours, the Web site will include information on local Bronx art and history, maps, lesson plans and activities, an online gallery, and an interactive bulletin board.
- Lower East Side Tenement Museum, New York, New York** \$35,540
Contact: Jeff Tancil - (212) 431-0233
The Lower East Side Tenement Museum will explore the creative potential of the Internet through its "Digital Artists in Residence" program. Web-based artists will produce artwork, focusing on immigration and New York history, for the Museum's Web site and participate in online chats with teachers and students. The Museum will also develop accompanying downloadable lesson plans on a wide array of topics.
- Minneapolis Institute of Art, Minneapolis, Minnesota** \$440,000
Contact: Karen Scheibner - (612) 870-3041
The Minneapolis Institute of Art is already a leader in providing information online. In this project, "What Clicks?," the Museum will conduct an intensive audience research and product evaluation study. The results will help museums learn how to improve their digital products, including exhibitions, lesson plans, and image databases, to increase their accessibility to and use by the public.
- Minnesota Historical Society, St. Paul, Minnesota** \$241,590
Contact: Maureen Otwell - (651) 297-7899
The Minnesota Historical Society will develop an electronic learning center for the study and teaching of Minnesota history. The project will develop a Web site to electronically connect students, teachers and the general public to historical resources from the Society, libraries, and archives. For teachers, the site will also include curriculum activities tied to state and national history standards and discussion groups.
- Morton Arboretum, Lisle, Illinois** \$420,428

Contact: Christopher Dunn - (630) 719-2423

Three major botanical institutions, The Morton Arboretum, The Field Museum of Natural History, and the Chicago Botanic Garden will develop an online searchable herbarium including specimen data and photographs of Chicago-area plants available to anyone with Internet access. The partners will develop protocols to allow users to search across all three institutions' databases. When complete, this project will be the largest online database of regional flora, with almost 170,000 records.



INSTITUTE OF MUSEUM AND LIBRARY SERVICES

2000 National Leadership Grants for Museums
Professional Practices Awards

- American Association for State And Local History, Nashville, Tennessee** \$221,517
Contact: Terry Davis - (615) 320-3203
Through this project, the AASLH will improve the services they offer to American Indian heritage museums. The Association will complete a comprehensive study of the current needs of tribal museums, and make recommendations for how AASLH can better support this community. AASLH will also institute a newsletter, Web site, listserv, and a symposium for tribal museums.
- Conservation Center for Art & Historic Artifacts, Philadelphia, Pennsylvania** \$92,431
Contact: Ingrid Bogel - (215) 545-0613
The Conservation Center for Art & Historic Artifacts will offer professional development program focused on proactive, cost-effective means of preserving photographs and mitigating disasters. The programs will be offered in multiple locations to reach a broader audience, and financial assistance will be available for museums with limited resources.
- Minnesota Alliance for Local History Museums, Prior Lake, Minnesota** \$83,124
Contact: Nicole Murray - (612) 496-6179
The Minnesota Alliance for Local History Museums is working to raise the standard of collections management practices among the 500+ rural and small museums in Minnesota. The Alliance will develop a comprehensive manual on the topic, and teach sections of the manual via video teleconferencing sessions. The Alliance will also encourage discussion through problem-solving meetings and an online bulletin board.
- Northeast Document Conservation Center, Andover, Massachusetts** \$83,500
Contact: Steve Dalton - (978) 470-1010
The Northeast Document Conservation Center, in partnership with the New England Museums Association, will develop a conference on the digitization of museum collections. If used wisely, digital technologies offer museums powerful new tools to reach broad audiences. Conference topics will emphasize standards and best practices to ensure that online collections will be accessible and easily maintained over time.

COMMISSION OF FINE ARTS

**COMMISSION OF FINE ARTS
STATEMENT FOR THE HOUSE
APPROPRIATIONS SUBCOMMITTEE
ON INTERIOR AND RELATED AGENCIES**

Fiscal Year 2002

The Commission of Fine Arts is requesting a Salaries and Expenses appropriation of \$1,274,000 for FY 2002 which constitutes an increase of \$199,000 above the FY 2001 enacted level.

The FY 2002 requested increase of \$199,000 contains uncontrollable cost increases of \$40,000 and \$159,000 in program changes. The uncontrollable costs include \$20,000 in cost of living pay raises, \$10,000 in working capital fund charges, and \$10,000 in rent to GSA. Based on an agreement worked out with GSA, the \$10,000 covers increases in maintenance and security costs; the "shell" rental rate (commercial market value) remains fixed at the FY 2001 level through FY 2006.

Independent Web-Page

The Commission of Fine Arts is one of the last federal agencies to provide a web-page for the dissemination of critical information to the public. This void in communication is compounded by the fact that access to email and the Internet is proving increasingly inefficient. Currently, the Commission relies on the Department of the Interior for this access. In part because the Commission office location is separate from Interior, connections require extra steps and access can be sporadic, with delays and occasional systemic shut-outs. In an effort to improve efficiency, GSA, the agency responsible for providing communications access, has developed a contract estimate for the installation costs of an independent system. Developed in cooperation with its consultant, Cameron Consulting Group, GSA rendered an estimate of \$127,000 for a system that would include server-hosting, connectors, and software. If paired down to the barest essentials, a program increase of only \$59,000, as approved by the Administration, should be adequate to get this program started..

Establishing an independent system for the Commission of Fine Arts will not only increase the efficiency of this office but provide the foundation necessary for establishing the agency web-site. A web-site has become critical to conducting business; it is the primary means of accessing information by other government offices, private industry, and, most importantly, the public. Given its mandate and the subject matter under its jurisdiction, the Commission of Fine Arts needs to provide up-to-date information, including scheduling, project recommendations, and positions taken on subjects of sometimes intense interest to the public and other entities, both local and national.

National Capital Arts and Cultural Affairs: Program Change

The Administration and the Commission are currently assessing options for implementing a competitive grants program which would replace the existing formula-based program created by Congress in 1986. The structure and form of such a program is not known at this stage. However, depending on the format chosen, it is assumed there will be a need for a substantial increase in personnel since the Commission, as an architectural review agency, is not qualified to evaluate the merits of individual operating standards or the programs of world-class exhibit and performance-based organizations. The Administration proposes a \$100,000 program increase to cover the estimated operating costs of this new initiative. The budget request for grants would remain at \$7,000,000.

Additional Activities of the Commission of Fine Arts in 2000 and Currently

The following sections highlight some of the more significant projects before the Commission during the past year.

Memorials

In this category, World War II continued to occupy much of our time. Final approval was given on the general design in July and the design for the ancillary buildings (information pavilion and replacement restroom facilities) was approved in November. Further consideration will be given for the selection of text inscriptions, bas-relief panels, and flagpoles in the near future.

With respect to the proposed Martin Luther King Memorial overlooking the Tidal Basin on a site between Independence Avenue and the Roosevelt Memorial, a global competition was conducted and the design team selected. The winning entry will be facing intense public scrutiny. The Commission looks forward to reviewing the concept shortly.

The final design was approved for the George Mason Memorial. Mason, who framed the Bill of Rights, will now be remembered in a small memorial set within an existing garden near the Jefferson Memorial. His image will be depicted in a bronze, life-size sculpture, seated on a bench beneath a new arbor, in a relaxed pose that will be appealing to the public.

Lastly, the Commission has continued to support and contribute toward the goal set by the Joint Task Force on Memorials. In cooperation with the National Capital Planning Commission and the National Park Service, the Commission of Fine Arts seeks to define more clearly the boundaries and reasonable limits that must be placed on establishing new memorials in the heart of Washington. In so doing, locations for potential memorial sites have been identified throughout the city. The findings of the Task Force were recently published for public response.

Federal Buildings and Projects

The Pentagon renovation continues to be one of the most significant projects in the Washington area. The program was divided into a series of projects spanning more than ten years. While many of these projects were approved following the recommendations of the Commission, several more significant programs have been initiated. Last year, the Remote Delivery Facility on the north side of the Pentagon was completed. The roof of this distinctive 220,000 square foot structure is a landscaped formal arrival area for important visitors that conceals warehousing functions. The second of these significant programs is a new visitor and commuter arrival center. This will require the rebuilding and positioning of the Pentagon Metro subway stop in coordination with bus service and visitor arrival in a sequence of landscaped spaces designed to provide greatly improved security for the Pentagon.

As in previous years, security for federal buildings occupies the Commission generally. The primary focus is to provide security when it is deemed necessary in a manner that protects the appearance of the city. During the past year, the Commission has considered such measures for portions of the Federal Triangle, the Holocaust Memorial, the State Department, Fort McNair, and the headquarters of both OPM and GSA. It has also participated in symposia and design charettes, the most important of which was hosted by GSA.

Security has not been limited to individual buildings. The White House and its precinct have been the focus of intense interest. After considerable effort, the Commission believes it can take some credit in the reopening of E Street. Designs have been approved that will increase security along the southern perimeter of the White House grounds (including the Treasury and Old Executive Office buildings) while considerably improving the appearance of these public spaces. Measures, both temporary and permanent, have been approved for the north side of Lafayette Park as well as Madison and Jackson places. Clearly, the avenue itself presents the greatest challenge and the Commission remains steadfast in its belief that it should be reopened in a manner that provides suitable protection for the President and the White House.

Like security, compliance with the Americans with Disabilities Act (ADA) also has required great care on the part of the reviewing agencies. Existing entrances to historic structures are rarely accessible to wheelchairs. The Commission has worked to provide this access in ways that protect the historic fabric and often enhance the appearance of the structures under study. During the past year, such projects have included the Mellon Auditorium, the Department of the Interior South Building, and the Federal Reserve Board Building, all on Constitution Avenue.

Military Installations

Among the military campuses under the jurisdiction of the Commission, the Walter Reed Army Medical Center has had its share of projects of interest, including a new gymnasium approved last year and now under construction, as well as significant changes to non-historic structures in

Walter Reed's effort to redistribute its functions for greater efficiency. Along similar lines, both Forts McNair and Myer have submitted projects designed to consolidate and protect their historic structures inventories while improving the function of each building. The Washington Navy Yard has nearly completed its major renovation and construction cycle, in part geared toward accommodating the arrival of the NAVSEA Command. Work continues on this task with security improvements and a new multipurpose facility being the most recent concerns.

International Center

Over the last three or four years, the State Department has submitted a series of chancery projects for the International Center. The pace of construction and new projects has not slackened. True to the intent of the legislation that created the center, the designs have been as varied as the countries for which they are now being built.

During the past year, the Commission considered final designs for three of these chancery facilities. The respective architects for Malaysia, Pakistan, and Slovakia have taken aspects of native design, either figuratively or literally, and produced buildings that, once constructed, should add to the rich international fabric of the center.

Smithsonian

Two years ago, the Smithsonian submitted a project that would have consolidated its chilled water plant for the museums lining Independence Avenue in one facility located within the west terrace area of the Air and Space Museum. After being assured that locating such a function at GSA's existing Central Heating Plant nearby was not possible, the Commission reluctantly considered the terrace location. We are pleased to announce that after further study and discussion with GSA, the Smithsonian found that the Central Heating Plant location will work and is following the Commission's suggestion.

Coins and Medals

The Treasury and the Mint continue to be unusually active. The designs for the new state circulating quarter coins are of primary interest. Last year, the Commission considered the third such group which, in order of entry to the Union, included New York, North Carolina, Rhode Island, Vermont, and Kentucky. Commemorative coinage also has been highly active. Among this group, the Commission reviewed designs for the Capitol Visitor Center, Leif Ericsson, and the Library of Congress Bicentennial. Medal designs were approved for Cardinal O'Connor and the 200th Anniversary of the White House.

District Government Projects

In cooperation with the Downtown Business Incentive District, the District Government, and other interested public agencies and private entities, the way-finding sign program for central

Washington has introduced the first group of signs for the benefit of the visiting public. Shortly will follow a system of sidewalk benches, trash receptacles and street lighting. The improvements are being paid for by local businesses.

Of greater and more lasting impact to the city, the District Department of Education, in cooperation with the Army Corps of Engineers, is in the process of renovating and, in some cases, entirely rebuilding all of its approximately 150 schools in the system. The Commission has reviewed a number of these significant projects during the past year, and will continue to do so for several years to come. Aside from the major renovation projects, the Commission has considered several entirely new school complexes, including Barnard Elementary, James F. Oyster Elementary, and Randall Highlands Elementary. The projects have been widely dispersed throughout Washington.

Shipstead-Luce and Old Georgetown Acts

A considerable number of private construction projects have been submitted to the Commission by the District of Columbia Department of Consumer and Regulatory Affairs over the past year or so, including major institutional and commercial developments, as well as individual residences.

In the Shipstead-Luce area, reviews of design modifications continue for the four-star Mandarin-Oriental Hotel, a major "gateway" building to the southern approach to the city via the Route 395 Bridge crossing the Potomac. Construction is expected to begin at the Portals shortly.

Final designs were approved for a mixed-use development spanning the 1900 block of E Street west of the White House. The residential and classroom building represents a considerable investment for George Washington University and has the endorsement of the community.

A concept design was reviewed for a two-phase office building in the 500 block of 12th Street, south of the Mall. This project emphasizes the increasing demand for downtown office space and the growing lack of suitable building sites.

Final working drawings and design modifications were approved for a new Avalon Bay apartment building at 770 5th Street, just north of Judiciary Square. The proposed residential structure is further evidence that the central downtown area is experiencing a renaissance in residential use, a necessary component for any thriving and vibrant city center.

Georgetown continues to be the focus of several major projects out of several hundred submitted under the Old Georgetown Act. Over the past ten years, the Commission has cultivated and maintained a close relationship with the Mayor's Historic Preservation Office which also has jurisdiction over the historic district.

Currently under construction, final designs and material selections were approved for the massive Millennium Development at the Old Incinerator site adjacent to the Whitehurst Freeway.

This is a mixed-use project combining a hotel with condominiums, commercial space and a multiplex movie theatre while also preserving the double house built by the first mayor of Georgetown in the 18th century.

Georgetown University continues its building program with several distinctive projects. The South Quadrangle is now under construction following approval of final designs and materials for the new Jesuit residence, student dormitory, and campus refectory. These three structures will be built on a landscaped podium which will cover a multistory below-grade parking garage, bus depot, and service core.

The university is also in the midst of designs for a new theatre complex, a small portion of which will occupy an early 20th century gymnasium. This is an extremely important project with respect to both the sensitivity of its location, between the Jesuit cemetery and the oldest buildings on the campus, as well as the high profile cultural offerings the university hopes to provide the community.

COMMITTEE QUESTIONS SUBMITTED FOR THE RECORD
COMMISSION OF FINE ARTS

Fiscal Year 2002

Question 1: Please provide a list of the Commission members, their institutional affiliations, as well as the dates that their terms began and expire.

Answer: A list of the current Commission members follows:

J. Carter Brown, Chairman

Appointed October 1971

Current term expires April 2003

Affiliations: Director Emeritus, National Gallery of Art,
Chairman, Pritzker Architecture Prize Jury;

Serves on the boards of several cultural institutions

Harry G. Robinson, III, FAIA, Vice Chairman

Appointed October 1994

Current term expires April 2003

Affiliations: Howard University Professor of Urban Design;
(former) Vice President for University Administration,
Howard University;

Serves as Trustee on a number of boards

Carolyn Brody

Appointed October 1994

Current term expires April 2003

Affiliations: Urban planner and consultant;
COB, National Building Museum;
(former) investment banker

Barbaralee Diamonstein-Spielvogel

Appointed March 1996

Current term expires January 2005

Affiliations: Author of books on architecture and the arts;
New York Historic Landmarks Preservation Center;
Serves on the boards of several cultural institutions

Emily Malino, ASID

Appointed April 1997

Term expires April 2001

Affiliations: Senior Design Consultant, Tobey and Davis Architects;
Serves on the boards of several cultural institutions

Ann Todd Free

Appointed May 1997

Term Expires May 2001

Affiliations: President, Vice President's Residence Foundation;
(former) Belgium Division of Daniels Construction Company

Eden Rafshoon

Appointed October 1994

Current term expires April 2003

Affiliations: Serves on the boards of several cultural institutions;
(former) Chairman of the International Sculpture Conference.

Question 2: Your Budget request asks for a small increase to cover fixed costs. What are your fixed costs? Has your rent charge stabilized?

Answer: The fixed costs are the Commission's general operating expenses, including salaries and benefits for personnel, travel, rent, communications and utilities, day-to-day printing needs, normal service requirements (including, but not limited to, the DOI Working Capital Fund, transcripts, deliveries, supplies), technical maintenance and replacement. There are three areas that contain uncontrollable increases in these fixed costs: (1) cost of living pay raises (\$20,000); (2) the working capital fund (\$10,000); and (3) rent to GSA (\$10,000). Based on a signed letter of understanding from GSA, the shell rental rate remains fixed through FY 2006, while modest increases are expected in maintenance and security costs. Including these uncontrollable increases, the estimated fixed costs would be \$1,115,000.

Question 3: Will there be any proposed program increases?

Answer: There are two proposed program increases. In the first, the Commission requests funding

to establish an independent Web-page. The agency Internet needs are currently served through DOI. Because the Commission offices are not physically connected to Interior, this arrangement has become increasingly inefficient, resulting in delays, extra steps, and occasional shut-outs. In order to remedy this problem and create and maintain its own Web-page, the Commission has asked GSA to provide estimates for the implementation of such a program. In coordination with the Cameron Consulting Group, GSA arrived at a cost of \$127,000 for server-hosting, connectors, and software. The Commission staff believes that not all the work is necessary and \$59,000 is requested to cover what is estimated to be its barest needs.

The second program increase is recommended by the Administration to cover the estimated costs of administering a change in the current formula-based National Capital Arts and Cultural Affairs grants program to one that would be competitive-based. The Administration is asking \$100,000 for this new program which would become a fixed cost in the operating budget of the Commission. It is not known at this time how this new grant program would operate.

Question 4: Recently the Congress gave the Commission authority to raise funds for certain projects. How much has been raised and expended?

Answer: The new authority granting the Commission the ability to raise and expend funds focused on publications. The purpose of the authority was to create a special account for the receipt of funds that would be used solely for the publication of studies created by the Commission. The means for starting off this account was intended to be a publication on the significant architecture and history of Georgetown. It was to be the catalyst for future work with funds drawn from the special account from the sales on that publication. To date, minimal funds have been raised because most previous Commission publications are now out of print (although in demand) and work on the intended

“catalyst” has ceased per the Committee’s direction.

Question 5: What is the current status of the World War II memorial? Are you still supporting its placement next to the Washington Monument?

Answer: The Commission remains enthusiastically supportive of the Rainbow Pool location across 17th Street from the Washington Monument. We believe that it is an ideal site for the World War II Memorial, one that has the backing of all the relevant approval agencies, as well as the support of a majority in Congress and academics in the field.

The design for the memorial has been approved and the selection of materials is nearing fulfillment. The Commission expects to review additional sculptural elements and inscriptions shortly. As of now, there is a lawsuit, naming all the individual federal review agencies as defendants, that bases its complaint on the legitimacy of the site and design of the memorial. The plaintiffs in the suit have published misinterpretations of the location and design. The Commission maintains that, once built, the hard work of the architects and artists will be revealed and should vindicate the choice of site and design.

Question 6: Provide a five-year table on administrative services paid to the Department of the Interior.

Answer: Following is the cost of administrative services paid to the Department of the Interior Working Capital Fund for the last five years. Work provided includes computer support, mail, procurement, and fiscal services.

1996 -	\$25,700.00
1997 -	20,900.00
1998 -	22,900.00
1999 -	31,700.00
2000 -	36,500.00

Question 7: Are there any monuments which you have denied during the past year? Which monuments have you approved the past year?

Answer: Sites and designs for memorials are considered only upon authorization of the memorial by Congress. It would be most unusual to “deny” a memorial so authorized. Consideration of a site and design is done with great care, a process that may take years.

The site for the Air Force Memorial was approved in 1994, the concept design in 1996. A final design has yet to be submitted. The site for the World War II Memorial was approved in 1995; final design approval was given for the main section of the memorial in July 2000 and for its ancillary structures in November 2000. A site adjacent to the Tidal Basin was approved for the Martin Luther King, Jr., Memorial in September 1999. A design competition was held in 2000 and the design firm selected by a jury. It is expected that the concept design will be considered by the Commission shortly. The George Mason Memorial site was approved in 1995; a concept for the design was submitted late in 1999. Final approval was given in 2000. The site for the Japanese American Memorial was approved in 1996, the concept design in 1997, final approval was given in 1999 (the sculpture elements in March 2000), and the dedication occurred in November 2000. The Mahatma Gandhi Memorial site was approved for a location on Massachusetts Avenue; the final design (a gift of the people of India to the United States) was approved in January 2000 and the memorial was dedicated in the summer of that year.

Question 8: The Commission plays an advisory role to the President on matters of fine arts and architecture. What interactions has the Commission had the past year with the President’s office? Has the Commission helped develop or implement any executive orders during the past year? Has the Commission had any involvement in the White House Millennium program?

Answer: The Commission’s Chairman, in his independent capacity as a member of the First Lady’s Committee for the Preservation of the White House, and Treasurer for the last twenty-nine years of

the White House Historical Association, has advised on matters of art acquisition and the historic and aesthetic values of the White House interiors. In addition, he continues *ex officio* as a member of the Federal Council on the Arts and Humanities, and is often consulted by ranking members of the White House staff on questions concerning the arts, which has included the Millennium program. The Chairman also serves on the committee appointed by the director of the National Park Service to advise on the master plan for the White House grounds.

Question 9: What administrative costs do you cover for the National Capital Arts and Cultural Affairs appropriation?

Answer: The cost of administering the National Capital Arts and Cultural Affairs program is absorbed by the Commission. The Commission's Assistant Secretary must keep abreast of pertinent legislation, announce the yearly program, review the three-year audits for each applicant, work with the applicants to correct problems in their applications, answer questions from all sectors, coordinate with the Interior Department Financial Management Office on grant estimates, organize the NCACA Panel meeting to review the merits of new and old applicants, as well as the grant estimates, advise the applicants as to their grants, authorize the release of the grants upon approval by the grantees, solicit year-end reports from the grantees, and review the grant program itself for potential improvements. It is estimated that this work requires on average approximately 160 hours from the Assistant Secretary. Refinements to the grant package, including a revised Policy Statement addressing the subject of operating income, and the inclusion of an appropriate Americans with Disabilities Act section, required an additional 40 hours from the Assistant Secretary in fiscal year 1999.

NATIONAL CAPITAL ARTS AND CULTURAL AFFAIRS

Question 10: Provide a list of the grant recipients for 1999, 2000, and 2001; their operating income, the amount of each grant, and the grant amount as a percentage of the grantee's total income.

Computation of FY 1999 NCACA Grants as a Percentage of Operating Income:

Institution	Non-Federal Operating Income	Grant	Grant as a % of Income
Amer. Arch. Found.	\$ 2,780,685.00	\$286,705.00	10.3%
Arena Stage	9,131,385.00	381,953.00	4.2%
Cap. Child. Museum	2,240,516.00	278,603.00	12.4%
Chorale Arts Society	1,768,202.00	271,520.00	15.4%
Corcoran	14,330,865.00	459,935.00	3.2%
Folger Shakespeare	6,453,308.00	341,787.00	5.3%
Ford's Theatre	4,600,179.00	313,994.00	6.8%
Kennedy Center	50,732,000.00	500,000.00	0.1%
Meridian House	2,550,496.00	283,252.00	11.1%
Natl. Bldg. Museum	4,781,223.00	316,709.00	6.6%
Women in the Arts	6,324,514.00	339,855.00	5.4%
Natl. Symphony	20,567,000.00	500,000.00	2.4%
Phillips Collection	6,802,900.00	347,030.00	5.1%
Shakespeare Theatre	9,060,085.00	380,883.00	4.2%
Studio Theatre	2,820,204.00	287,297.00	10.2%
Textile Museum	2,623,311.00	284,344.00	10.8%
Thelonious Monk Inst.	3,209,981.00	293,143.00	9.1%
Washington Ballet	3,243,026.00	293,639.00	9.1%
Washington Opera	21,075,478.00	500,000.00	2.4%
Wash. Perform. Arts	6,290,884.00	339,351.00	5.4%

Computation of FY 2000 NCACA Grants as a Percentage of Operating Income:

Institution	Non-Federal Operating Income	Grant	Grant as a % of Income
Amer. Arch. Found.	\$ 2,789,933.00	\$282,946.11	10.1%
Arena Stage	9,891,888.00	381,925.36	3.9%
Cap. Child. Museum	3,233,811.00	289,132.39	8.9%
Choral Arts Society	2,278,171.00	275,813.73	12.1%
Corcoran	14,942,837.00	452,319.94	3.0%
Folger Shakespeare	6,701,287.00	337,458.27	5.0%
Ford's Theatre	6,626,535.00	336,416.46	5.1%
Kennedy Center	57,666,000.00	500,000.00	0.1%
Meridian House	2,958,897.00	285,300.94	9.6%
Natl. Bldg. Museum	4,969,467.00	313,322.06	6.3%
Women in the Arts	7,065,565.00	342,535.17	4.9%
Natl. Symphony	21,203,000.00	500,000.00	2.4%
Phillips Collection	7,794,056.00	352,688.08	4.5%
Shakespeare Theatre	9,604,869.00	377,925.21	3.9%
Studio Theatre	2,764,058.00	282,585.49	10.2%
Textile Museum	3,039,327.00	286,421.89	9.4%
Thelonious Monk Inst.	1,324,540.00	262,523.07	19.8%
Washington Ballet	2,725,344.00	282,045.94	10.4%
Washington Opera	23,341,474.00	500,000.00	2.1%
Wash. Perform. Arts	6,300,383.00	331,870.91	5.3%

NOTE: Actual grant program contains \$6,973,231.00 which accounts for the required .38% across the board recession in all agencies and programs, or \$26,769.00.

Computation of FY 2001 NCACA Grants as a Percentage of Operating Income:

Institution	Non-Federal Operating Income	Grant	Grant as a % of Income
Amer. Arch. Found.	\$ 2,994,412.00	\$282,583.89	9.44%
Arena Stage	10,655,233.00	380,116.46	3.57
Cap. Children's Museum	4,096,835.00	296,619.22	7.24
Choral Arts Society	2,622,079.00	277,843.59	10.60
Corcoran Gallery of Art	16,138,890.00	449,930.79	2.79
Folger Library	7,272,723.00	337,052.55	4.63
Ford's Theatre	6,259,410.00	324,151.71	5.18
Kennedy Center	66,105,000.00	500,000.00	0.76
Meridian House	3,117,170.00	284,146.77	9.12
Natl. Building Museum	6,630,783.00	328,879.79	4.96
Women in the Arts	6,578,967.00	328,220.10	4.99
National Symphony	22,427,000.00	500,000.00	2.23
Phillips Collection	7,601,563.00	341,239.13	4.49
Shakespeare Theatre	12,005,522.00	397,307.45	3.31
Studio Theatre	4,193,570.00	297,850.79	7.10
Textile Museum	2,466,620.00	275,864.39	11.16
Thelonious Monk Inst.	1,266,660.00	260,587.29	20.57
Washington Ballet	3,462,617.00	288,544.77	8.33
Washington Opera	22,628,863.00	500,000.00	2.21
Washington Perf. Arts	7,006,352.00	333,661.29	4.76

NOTE: Actual grant program contains \$6,984,600.00 which accounts for the required .22% across-the-board recission in all agencies and programs, or \$15,400.00.

Question 11: Please describe the specific criteria guiding the allocation of NCACA funds during fiscal year 2001.

Answer: Grant awards are based on the following formula: 70 percent is distributed equally among all eligible organizations submitting applications; the remaining 30 percent is distributed based on the amount of the organization's total annual income, exclusive of federal funds, compared to the combined total of the annual income, exclusive of federal funds, of all eligible organizations submitting applications. However, no organization receives a grant larger than \$500,000 and no grant may exceed 25 percent of an institution's annual income budget.

In addition, for an organization to be eligible, it must pass the following criteria:

(1) the organization must have its principal place of business in the District of Columbia and must have the primary purpose of performing, exhibiting, and/or presenting the arts;

(2) the organization must be engaged primarily in performing, exhibiting and/or presenting the arts in a facility or facilities located in the District of Columbia;

(3) the organization must devote at least 51 percent of its annual budget to performing, exhibiting and/or presenting the arts at the professional level in the district of Columbia, and must have been located in the District of Columbia for at least ten years;

(4) the organization must be a not-for-profit, non-academic institution of demonstrated national repute;

(5) the organization must have an annual income, exclusive of federal or pass-through federal funds, in excess of \$1 million for each of the three years prior to the year of application; and

(6) no organization which receives more than 50 percent of its annual budget from direct line-item federal appropriations and/or other government funding is eligible for grants under this program.

Organizations affiliated with institutions which receive more than 50 percent of their annual budgets from direct line-item federal appropriations and/or other government funding also are not eligible.

Question 12: Please indicate how the FY 2002 funding will likely be dispersed, by institution, if the same procedures are followed as in FY 2001.

Answer: The grant recipients for FY 2002 are unknown. Notice in the Federal Register for the 2002 grant program will appear in November 2001; the grant packages will be sent out in January 2002. The returned packages must be received by the Commission no later than 4:00 PM on the first Monday of March 2002. The applications will be considered and approval (or disapproval) by the panel members will be given within a month to six weeks of their receipt.

Question 13: If a selective or competitive process for grants were established, how would that be conducted?

Answer: The Administration has given the Commission the option of continuing to administer a revised NCACA program. It is not known how a competitive-based program would operate in this instance: its structure and form are unknowns. There are several potential options, including basing a competitive program on the comparative merits and efficiency of operation of each organization or basing the program on the comparative artistic merits of the individual programs offered by those organizations. Administering such a complex program involving highly disparate institutions of national stature would require the services of highly skilled specialists in a variety of fields.

Question 14: Does the Commission have any experience with running competitive grants?

Answer: The Commission does not have experience running a competitive grants program, only a formula-based grants program.

Question 15: Are there other existing Federal institutions in D.C. which have grant making experience which would lend them to being capable of managing a competitive grants program for the National Capital Arts and Cultural Affairs account?

Answer: The National Endowment would be the only existing Federal institution capable of running a competitive grants program based on artistic merit alone. Were the program to be based on comparative operational merits, it is not known what Federal agency (if any) would be willing to administer such a program. As an alternative, the program might procure the services of a private consulting group.

Question 16: What is the net economic benefit to the community of the programs funded through this appropriation?

Answer: In consultation with representatives of Americans for the Arts, a respected organization which has completed studies on the effect of grant programs in 55 communities around the country, the Commission can provide a general picture of the net benefit to the community of a program like that of the National Capital Arts and Cultural Affairs.

On average, every \$100,000 in grant funds provides close to four full time equivalent jobs in the local community, which is estimated to generate in excess of \$100,000 in household income, over \$4,000 in local government revenues, and more than \$5,000 in state government revenues.

Of far greater impact, study after study has shown that the economic multiplier of arts attractions is tremendously impressive with respect to tourism and in the revitalization of neighborhoods. One study, described in an article published in the March 1998 issue of Architecture ("Art Transplant" by Heidi Landecker), states that:

"The studies revealed that the city [New York] earned revenues of \$9 billion in 1992 from cultural activities, with more than \$2 billion coming from out-of-townners. More recent reports by the Washington-based Travel Industry Association of America discovered that one-third of the U.S. adult population visited a cultural attraction in 1996. Furthermore, cultural tourists stay downtown, spending money on hotels and restaurants. And they shop like mad. They drop \$615 per trip as compared to \$425 for all U.S. travelers, according to the association."

**ADVISORY COUNCIL
ON
HISTORIC PRESERVATION**

**Advisory
Council On
Historic
Preservation**

The Old Post Office Building
1100 Pennsylvania Avenue, NW, #809
Washington, DC 20004

**STATEMENT FOR THE RECORD
SUBMITTED BY CATHRYN BUFORD SLATER
CHAIRMAN, ADVISORY COUNCIL ON HISTORIC PRESERVATION
TO THE SUBCOMMITTEE ON INTERIOR AND RELATED AGENCIES
COMMITTEE ON APPROPRIATIONS
U.S. HOUSE OF REPRESENTATIVES**

APRIL, 2001

The Advisory Council on Historic Preservation is an independent Federal agency established by the National Historic Preservation Act of 1966, as amended (NHPA, 16 U.S.C. 470f). The Council advises the President and Congress on historic preservation matters, administers the public review and consultation process for Federal undertakings established by Section 106 of NHPA, and works to improve Federal policies, programs, planning, and decisions when they affect the Nation's historic and cultural resources.

Under the NHPA, Congress laid out a far-reaching policy directing the Federal Government to assume a leadership role in the protection and enhancement of our Nation's cultural patrimony. Among other things, the statute directed Federal agencies to foster conditions to accomplish the national goal of historic preservation; to act as faithful stewards of federally owned, administered, or controlled historic resources for present and future generations; and to offer maximum encouragement and assistance to other public and private preservation efforts through a variety of means. In creating the Advisory Council on Historic Preservation, Congress recognized the value of having an independent entity to provide advice, coordination, and oversight of the Act's implementation by Federal agencies. The Council remains the only Federal entity created solely to address historic preservation issues, and helps to bridge differences in this area among Federal agencies, and between the Federal Government and States, Indian tribes, local governments, and citizens.

The Council provides advice to the President and Congress on matters that affect, and are affected by, historic preservation concerns. Its primary mission, however, is to promote historic preservation and heritage values in specific Federal programs and projects. Through work with Federal agencies on their programs, the Council helps agencies internalize the consideration of historic properties in their regular operations, and works closely with them to develop necessary guidelines, operating procedures, and training. The Council also oversees the Section 106 process, and assists with the negotiation and resolution of particularly important, difficult, or controversial cases. Under Section 106 of the NHPA and the Council's implementing regulations, Federal agencies "take into account" the effects of their proposed actions on historic resources through information gathering, public consultation, and agreeing to project modifications as well as other mitigation measures.

The Section 106 process guarantees that State and local governments, Indian tribes, non-profit groups, interested organizations, and private citizens will have access to and a voice in the planning process when a Federal undertaking will affect historic properties that are of special concern to them. Thus, through its oversight and administration of Section 106 of the NHPA, and its daily advice to Federal agencies and other participants in the process, the Council helps to ensure effective consideration of historic resources and community interests in agency planning and decision-making. The Council, with continued support from the Congress, will continue to ensure that Federal decision-makers adequately consider the historic preservation concerns of communities and address the public interest in heritage protection.

Members of the Council include private citizens and experts in the field of preservation appointed by the President, along with Federal agency heads, a governor, a mayor, representatives of national preservation organizations and a Native Hawaiian. Council member activities are supported by a small professional staff with offices in Washington and Denver.

FY 2001 Level of Operation. The Council is funded at \$3.182 million for FY 2001, supporting a staff of 34 FTEs.

FY 2002 Request. The President's budget for FY 2002 requests \$3.310 million and 34 FTEs for the Council. This figure reflects an adjustment to base funding to help address the increased cost of doing business, and includes no new program initiatives or additional personnel.

Highlights of Program Direction. The budget justification details the achievements for FY 2000, major work program items for FY 2001, and our objectives for FY 2002. As the Committee is aware, the work of the Council has been changing in various ways over the last two years as a consequence of our revised regulations, and will continue to do so. We wish to highlight several points in relation to these changes.

In the last year, we have seen the culmination of several major Council program initiatives that have broad implications for our continuing work and future direction. These include completion of a major policy report focused on improving Federal stewardship of historic resources; issuance

of new revised historic preservation regulations governing the review process called for by Section 106 of NHPA; and mid-point corrections to the Council's six-year strategic plan required under the Government Performance and Results Act. These initiatives and the Council's changing responsibilities in historic preservation case review and consultation are leading us into a series of challenging yet fruitful areas in policy development, Federal agency program improvement, education, and public outreach.

The Council completed and released its special report on Federal stewardship of historic resources. The report, *Caring for the Past, Managing for the Future—Federal Stewardship and America's Historic Legacy*, points to the wealth of historic assets managed by the Federal Government, and describes both successes and failures in their preservation and promotion by Federal agencies. The study advocates both executive and legislative action to correct many of the existing problems.

Among other improvements, the Council recommended:

- Better funding and staffing support for Federal historic preservation activities;
- Fuller knowledge of and accountability for Federal historic resources and how they are being managed;
- Changes to policies that place historic preservation at a disadvantage when construction, rehabilitation, maintenance, and resource use decisions are made by Federal property managers;
- Legislation to encourage rather than impede public-private partnerships in support of Federal stewardship; and
- More effective, focused collaboration among different branches and levels of government on both specific projects and on broader preservation programs.

The Council has recommended issuance of a Presidential executive order to address some of these needs, and is committed to following up on its recommendations to ensure that they are considered and implemented to the maximum extent.

In addition, amended regulations governing the Section 106 review process under the National Historic Preservation Act went into effect on January 11, 2001. Under these procedures, individual case review, especially of relatively routine, non-controversial projects, is now being handled largely by local Federal offices working with the States. However, while the revised regulations shift a large portion of the individual project review work away from the Council to its preservation partners--Federal agencies, State Historic Preservation Officers, Tribal Historic Preservation Officers, and other parties--their success depends on the Council's continued ability to provide useful and timely advice, assistance, and oversight. Well-grounded interpretation, dispute resolution, and responsiveness to public inquiries are essential. Focused efforts on improved coordination and training under the statute are also critical to realizing the intent of the NHPA.

A smaller number of more complex, precedent-setting, and sometimes controversial cases require

intensified, and sometimes lengthy, Council involvement. The regulations therefore contain criteria outlining those situations when the Council will become actively involved in review and consultation. These situations take considerable professional judgment, time, effort, and practical experience to deal with. They often involve substantial public interest and involvement, media attention, and there are multiple public and private parties involved who have a stake in the outcome.

Some trends have begun to crystalize:

- Routine, noncontroversial case involvement has dropped substantially, while active Council staff work and Council member involvement in high profile, complex, and controversial cases has increased significantly;
- There is a continuing need for guidance and technical assistance critical for explaining, complementing, and implementing the regulations, and these efforts require substantial expertise, and time;
- There is an increased need to work closely with and reach out to industry, applicants for Federal assistance, consultants, and local governments;
- Meeting Federal statutory and treaty responsibilities for Government-to-Government consultation with Indian tribes in a variety of circumstances, both project-specific and programmatic, is complex and time-consuming; and
- A broad suite of enhanced and expanded technical training is needed for preservation partners and other primary customers, especially SHPOs, Indian tribes, and particular Federal agencies, to assist them with their Section 106 obligations.

The Council is increasingly being called upon for legal advice on precedential situations; detailed professional advice on best planning and other preservation-related practices; substantial assistance to Indian tribes and to others in their tribal consultation; legal and professional advice on environmental justice needs; and assistance with effective public involvement. The Council has also become significantly more engaged and proactive in working with Federal agencies to improve the fit between their policies and programs and historic preservation needs, and many agencies are requesting Council assistance to help them streamline and improve their internal processes, thereby reducing or eliminating policy and operational conflicts before they arise. Council guidance and training is actively being sought by a broad spectrum of parties, including Federal, State, Tribal, and local government officials, private consultants, representatives of industry, and community organizations and citizen groups.

Finally, the Council amended its Six-Year Strategic Plan (covering 1998-2003) at the start of FY 2001. The members made a number of modifications in emphasis and timing of plan elements, while reconfirming the overall thrust of the Council's mission and long-range goals. The changes

included focusing on products and outcomes rather than process, and clarifying the importance of interagency collaboration to address obstacles to preservation and use of historic properties. Increased emphasis was placed on guidance development, stakeholder education, and system oversight. A new element was also added related to enhancing the Council's organizational capabilities.

The record of recent Council achievement demonstrates the significant returns on the modest annual investment in the Council's operations. The Council is poised to build on these accomplishments, to make the Federal Government's commitment to historic preservation both stronger and more cost-effective. We will use the requested amount to pursue our highest priority objectives and continue to build partnerships to expand our capabilities.

**HOUSE INTERIOR APPROPRIATIONS SUBCOMMITTEE
FY 2002 QUESTIONS FOR THE RECORD**

ADVISORY COUNCIL ON HISTORIC PRESERVATION

- 1. Please provide a list of the current members of the Council, their institutional affiliations, and terms.*

This information may be found at Attachment A.

- 2. Your budget request includes a small increase which is all taken up with fixed cost increases. Please describe in detail what your fixed cost increases are.*

For existing personnel, absorption of annualized cost of living increases and in grade increases will result in an estimated total increase of \$346,000 in salaries, and a related \$83,000 (approximately 24% of salaries) in increased benefit costs. The projected increase in the Working Capital fund, provision of administrative services from the Department of the Interior, will amount to a further \$17,000. Increased rent (assuming a continued Old Post Office location, with no consideration of a possible agency move) will amount to a further \$3,000. The total fixed cost increases amount to an estimated \$449,000.

These figures do not include other rising costs of doing business, including expected increases in travel costs, technical services, and supplies and equipment. Absent any additional funding, we will be attempting to absorb these costs while still maintaining current staff.

- 3. What are some of the major program initiatives that you are planning for FY 2002 which will complement your work on the revised Section 106 of the National Historic Preservation Act?*

The Council has underway a number of major program initiatives which build on new opportunities in the recently issued regulations. Some of these initiatives, such as the large number of Department of Defense properties approaching the 50-year threshold for possible historic designation, or new fuel reduction programs to curb wildfires on Federal lands in the West that may threaten adjacent lands and communities, strive to deal with emerging issues. Others, such as our discussions with the Natural Resources Conservation Service, involve a reappraisal of existing programmatic approaches that fall short of meeting the provisions of the latest amendments to the National Historic Preservation Act and the Council's revised regulations.

Most of these initiatives will continue well into FY2002. Responding to our experience working with the telecommunications industry (see question 5 below), the Chairman recently named a task force of Council members to look at the unique challenges posed by these types of Federal actions. Under the direction of the task force, the Council would expect in FY2002 to examine a range of such actions, such as the National Pollution Discharge Elimination System (NPDES) permits issued under EPA authority, approvals by the Office of Surface Mining of state mining plans under the Surface Mining Control and Reclamation Act (SMCRA), and Federal Energy Regulatory Commission actions regulating natural gas commerce and hydro power relicensing. We have begun preliminary discussions with the Office of Surface Mining to address issues that have arisen from subsidence mining of subsurface mineral deposits underlying private lands in Pennsylvania. In this and the other cited programs, efforts would focus on identifying cross cutting improvements.

The following are program initiatives currently underway:

Federal Communications Commission - Telecommunications Activities

Programmatic Goal: Develop Section 106 compliance procedures with the Federal Communications Commission (FCC) that will better coordinate historic preservation reviews with FCC's environmental rules. At present, FCC's environmental rules do not comport with the Section 106 regulations. Nor has FCC developed internal procedures to assist applicants in carrying out the initial steps of the Section 106 process, a responsibility which FCC has formally delegated to applicants. The Council's goal is to reach agreement with FCC and industry representatives regarding the protocols for each step of the review process in order to ensure consistent, well-documented submissions from FCC and applicants as well as timely and predictable responses from the Council, State and Tribal Historic Preservation Officers, Indian Tribes, and Native Hawaiian Organizations.

Department of the Army/Department of Defense - Capehart-Wherry Housing

Programmatic Goal: Find a programmatic approach to handling future Section 106 reviews for the thousands of Capehart and Wherry military housing units that will be reaching 50 years of age over the next decade. (Properties generally must be 50 years old to be potentially eligible for the National Register of Historic Places and subject to Section 106 review.) An Army context study has determined that these properties are not eligible at the national level of significance but may have historic significance at the state or local level. A programmatic solution to Section 106 compliance for Capehart and Wherry housing should significantly reduce administrative costs associated with managing these properties.

Department of the Army - Stewardship of Historic Properties

Programmatic Goal: Develop an alternate procedure to the Council's regulations that will allow the Army to streamline the Section 106 process to better meet the missions and needs of the Army and to better manage the Army's inventory of historic properties.

Army Corps of Engineers - Permitting

Programmatic Goal: Assist the Corps regulatory program in identifying programmatic approaches to deal with Section 106 compliance for permit projects in a streamlined manner. The Corps presently administers its historic preservation responsibilities for permits under a section of its regulations, Appendix C, which the Council has never approved as a substitute for the Council's regulations. The ultimate goal would be agreement to revise or replace Appendix C. A recent District Court decision (*Committee to Save Cleveland's Fulett's, et al. vs. U.S. Army Corps of Engineers, et al.*) deemed Appendix C inconsistent with the Council's regulations, which should give impetus to this effort.

Various Agencies - Construction of Memorials under the Commemorative Works Act

Programmatic Goal: Improve interagency coordination among the National Park Service (on behalf of the Secretary of the Interior) and other agencies for coordinating Section 106 requirements with reviews under the Commemorative Works Act for memorial projects in Washington, D.C. An important objective is structuring Council involvement to ensure early participation where needed.

Various Agencies - Nationwide Wild Land Fire Control Measures

Programmatic Goal: Develop standards and streamlining procedures for Section 106 compliance for wild land fire management programs in the Departments of Interior and Agriculture. Programs include wild fire suppression, burn area emergency rehabilitation, prescribed fire, and mechanical fuels reduction.

Forest Service, Region 2 - Prescribed Fire Program

Programmatic Goal: Develop region-wide inventory procedures and streamlining procedures for prescribed fire projects.

Forest Service, Region 3 - Wildland Urban Interface & Hazardous Fuels Reduction

Programmatic Goal: Develop streamlined procedures for hazardous fuels reduction projects, especially those funded through the 2000 allocation focused on the wildland/urban interface.

General Services Administration - Property Disposal

Programmatic Goal: Delineate a programmatic method to coordinate Section 106 and National Environmental Policy Act (NEPA) compliance activities for General Services Administration (GSA) property disposals, especially for large or complex installations. GSA acts as the Federal disposal agency for their own properties, as well as those owned or controlled by other agencies. Coordination between GSA's statutory authorities and their responsibilities under NHPA and NEPA – particularly when the agency exceeding the property makes certain determinations before GSA even enters the picture – can make it difficult for a full range of alternatives to be considered prior to property disposal.

Department of Agriculture—Natural Resources Conservation Service Programs

Programmatic Goal: Update a soon-to-expire 1994 nationwide Programmatic Agreement (PA).

In 2000, the Council entered into a formal interagency agreement with the Natural Resources Conservation Service (NRCS) toward this effort. The proposed new PA provides for each State and Indian Tribe to enter into its own agreement with the NRCS on how Section 106 will be complied with at the state and tribal levels. It will set out a series of performance standards, exempt a series of actions from further Section 106 review, and provide for annual reporting and monitoring of NRCS activities.

4. Indian tribes play a more prominent role in the historic preservation program and particularly the Council's new Section 106 regulations. What has been the impact of their involvement on your workload and your programs?

In the last decade, there has been a steady increase in the number of Section 106 reviews involving Indian tribes and tribal issues in which the Council has been asked to participate or has determined that its participation is warranted. For some Federal agencies (e.g., Forest Service, Bureau of Land Management, and Corps of Engineers), the most complicated and controversial Section 106 projects involve Native American concerns and issues. The increased interest of Indian tribes in the Section 106 review process predates the new regulations and to some extent the 1992 amendments to the NHPA. The new regulations, however, have caused Federal agencies to reevaluate their policies and existing programmatic agreements with regard to consultation with Indian tribes. Because of this, Council staff has had to devote more time to reviewing proposed amendments and advising Federal agencies on their responsibilities regarding consultation with tribes. Council involvement in individual case review is generally warranted not simply because the issues are complex but often because the consultation process has gone awry. For some of the most complex or problematic cases, Council participation includes a Program Analyst, the Native American Program Coordinator, and/or our attorney, substantially increasing our personnel commitment in these situations. While the requirement to consult with Indian tribes was codified in the 1992 amendments to the NHPA, many Federal agencies continue to have difficulty integrating these requirements into their projects and programs. In partnership with the National Park Service, the Council has launched a project to compile information about historic lands and areas of interest to Indian tribes, with the ultimate goal of creating a database to assist Federal agencies in determining the appropriate scope of their tribal consultation needs.

The Council continues to believe that with an aggressive outreach program, many of the challenges and problems regarding tribal involvement in the Section 106 process could be resolved or improved. Currently the Council's Native American Program has a full-time coordinator and a part-time assistant. Within its limited means, the Council has been working on a number of initiatives to inform and train appropriate parties. For instance, guidance is available on our website and through direct mailings to Indian tribes. In addition, Council staff are working with the Federal Preservation Institute to train Federal Preservation Officers regarding

tribal consultation requirements. The Council is also developing a prototype training course for Indian tribes that we hope to be able to offer in future fiscal years.

5. *We also understand that the section 106 regulations encourage you to have greater outreach to industry, applicants for Federal assistance, and local governments. What specific outreach are you planning and how does this affect your workload?*

The Council has continued to consult with local governments regarding measures that would streamline and expedite the Section 106 process and provide local governments more autonomy in reviewing projects involving historic properties. Not only do we enter Agreements with communities receiving funds from the U.S. Department of Housing and Urban Development (HUD), we have also developed Statewide Programmatic Agreements that support the concept of devolution when a State agrees to utilize qualified historic preservation professionals to administer historic preservation reviews for certain HUD Programs. Pursuant to the Council's 2001 regulations, we will be developing prototype Programmatic Agreements with the State Historic Preservation Officers (SHPOs) and Tribal Historic Preservation Officers (THPO's) for HUD and other State delegated programs. Once the prototype Agreements are approved by the Federal agency, SHPO/THPO and the Council, these Agreements can be executed without Council participation as long as there are no extenuating circumstances. The approval of prototype Agreements should improve the Section 106 compliance record of local and State governments while allowing the Council to provide oversight and monitoring of the Federal programs covered by the Agreements.

We are pursuing options to improve outreach to applicants by working closely with the Federal agencies that issue funds, licenses, permits and approvals to these entities. It has become evident that in order to improve Section 106 reviews involving applicants, the Federal agencies and the Council must develop appropriate training that explains the review process. Further, where agencies rely upon applicants to carry out a number of the steps in the Section 106 process, formal measures must be taken to delegate to applicants such responsibilities. Such delegation allows applicants to basically conclude reviews for routine projects which do not adversely affect historic properties by notifying the Federal agency of the outcome of consultation with SHPOs/THPOs and other consulting parties. This streamlining of the process benefits all parties and improves accountability.

For example, during the past year the Council has worked closely with the Federal Communications Commission (FCC) and a Telecommunications Working Group it convened consisting of representatives from industry, the SHPOs, tribes and cultural resource firms to explore ways to improve the coordination of Section 106 and FCC's environmental rules. The Working Group identified a number of interim measures that they believed would provide immediate positive results for industry and the preservation community. All of these measures have been adopted, including the execution of a Programmatic Agreement to streamline the Section 106 reviews for collocation of antennae on existing towers, buildings and structures. Consultation with the group regarding siting and construction of new towers is ongoing, with the goal of developing a Nationwide Programmatic Agreement or prototype for States to tailor the Section 106 process to the unique requirements of building out a nationwide telecommunications system consistent with the Telecommunications Act of 1996. Industry has indicated that their

participation in this effort is critical if the Federal government is to understand the challenges of this deregulated industry and be responsive to their concerns of time, cost, rapid technological advancements and the need for access to information on historic properties.

The Council's Telecommunications Working Group is a model that we would like to apply to other licensing, permitting and regulatory agencies in order to improve the agencies compliance record. Working directly with the affected industry and other stakeholders allows us to identify and to resolve the systemic challenges that industry encounters when complying with the requirements of Section 106 process. The goal of such collaboration is focused training, development of guidance materials, case studies and best practices and improved internal Federal agency procedures to ensure timely and consistent reviews.

Outreach to industry can be labor intensive, requiring substantial staff time and effort to coordinate meetings, research patterns and trends, solicit public views and prepare and disseminate deliverables. Therefore, our ability to pursue such initiatives is directly tied to available funding or successfully negotiating cooperative agreements with Federal agencies. In limited cases, it may also be desirable to reach agreement with affected industry organizations for internships or other cooperative efforts. We have begun discussions with representatives of the mining and natural gas industries to explore ways to better accommodate their needs in resolving Section 106 issues as well as to identify appropriate overall streamlining measures for the Section 106 process.

6. *You have recently completed a major report on Federal stewardship of historic resources. What are the reports major findings and recommendations and what are the implications of the report for the Council's future workload and resource needs?*

The Council's report on Federal stewardship of historic resources, entitled *Caring for the Past, Managing for the Future*, includes the following major findings:

Findings

- ▶ There is a rich legacy of American history and culture in Federal care.
- ▶ Federal historic resources are valuable public assets.
- ▶ Many successes have been achieved and much progress has been made by Federal agencies in caring for and preserving these resources over the last 30 years, but chronic problems exist.
- ▶ Funding and staffing as currently structured are inadequate.
- ▶ In addition to funding, Federal agencies often lack adequate institutional and organizational support for historic and cultural resources.
- ▶ Public policy-makers and managers need to be reminded that the Nation's rich legacy is important and their actions can affect its stewardship.
- ▶ Lingering problems exist in the identification and evaluation of Federal holdings by their managers, which often lead to management difficulties.
- ▶ Historic and cultural resource management is inadequately integrated with other needs.

- ▶ Barriers to preservation often outweigh factors that would support and encourage preservation efforts.
- ▶ Existing laws are generally adequate, but implementation and accountability under them could be improved substantially.
- ▶ Federal agencies need to improve their understanding of the views of public and private parties who have particular interests in historic and cultural resource preservation and use.
- ▶ More emphasis on effective collaboration and partnership could help achieve common goals.

Recommendations

The recommendations made by the Council fall under four headings: leadership; commitment; accountability; and collaboration/partnership.

Leadership: Building a Historic Resource Stewardship Ethic

The Federal Government must emphasize its role in protecting and preserving the Nation's heritage, and seek and advocate historic resource stewardship in partnership with non-Federal parties. Periodic reminders from the President, the Cabinet, and agency leadership, as well as from Congress, would help to reinforce and emphasize the importance of historic resource stewardship throughout the Federal establishment. A significant component of such a message could be a directive to executive branch agencies to take the lead in caring for the resources under their stewardship and demonstrating the value of these resources as important assets for a variety of public benefits.

- ▶ The President should clarify the Executive Branch's leadership role in promoting historic values and preserving historic resources, and direct the highest levels of the Federal Government to make a sustained commitment to history and historic preservation.
- ▶ Congress should commission an independent policy study on the public costs and benefits of preserving historic resources that could be used to help set future legislative priorities.
- ▶ Congress should provide funding for the National Trust for Historic Preservation to pursue partnerships with Federal agencies in order to enhance stewardship of historic resources, especially through public outreach.
- ▶ The National Park Service, the Council, and Federal agencies should cooperatively develop and maintain more effective training for agency personnel at all organizational and program levels. These programs should include government-wide historic preservation awareness training for policy-level officials keyed to stewardship performance.

Commitment: Taking Care of the Nation's Historic Public Assets

The Federal Government must provide consistent, reliable, and adequate funding to meet its stewardship responsibilities. It should also provide dedicated funds for historic resource stewardship, while removing obstacles to cost-effective care and use of resources.

- ▶ The Administration and Congress should work together to improve Federal funding levels, based on performance and needs in accordance with the Government Performance and Results Act.
- ▶ Congress should amend Section 111 of NHPA to permit Federal agencies to continue to use historic properties or portions of historic properties that are leased or exchanged with non-Federal parties, through lease-back arrangements or other mechanisms.
- ▶ Federal agencies should identify and remove accounting barriers and other administrative impediments within their control to the use and leasing of historic resources in accordance with Section 110(a)(1) and 111 of NHPA.

Accountability: Making Preservation Decisions in the Public Interest

The Federal Government must improve its accountability for historic resource stewardship and fully integrate historic resource management concerns with other priorities.

- ▶ The President should direct Federal agencies to document and report regularly on the condition of important historic resource under their control as a basis for responsible planning, budgeting, and decision making.
- ▶ The President should direct Federal agencies to enhance the organizational placement and role of the Federal Preservation Officer (established under Section 110(c) of NHPA) to ensure that each agency has an effective focal point for preservation activities.
- ▶ The Administration, with support from Congress, should ensure that Federal agencies fully integrate historic preservation responsibilities and needs into strategic plans, performance standards, performance measures, and management and accounting systems, consistent with the Government Performance and Results Act, the Chief Financial Officers Act, the Performance Management and Recognition System, and related mandates.
- ▶ Federal agencies should establish and maintain internal audit programs to monitor compliance with historic preservation laws and regulations and recommend corrective action for critical resource protection needs.
- ▶ Federal agencies should improve the effectiveness and consistency of how they seek and consider the views of outside parties, including the general public, in their stewardship decisions.
- ▶ Federal agencies should develop awards programs and performance incentives to support historic preservation.

Collaboration: Finding and Working with Partners

- ▶ The Administration and Congress should work together to establish appropriate mechanisms for Federal agencies and private sector to promote successful public-private partnerships. This should include removing legal impediments to the establishment and financial support of non-profit educational groups and volunteer associations who can assist with Federal stewardship work.
- ▶ The Administration should encourage Federal agencies to outlease or expedite conveyance of surplus historic resources that could be better managed, preserved, and used by other Government entities or the private sector.

The implications of these findings and recommendations for the Council's future workload and resource needs, as well as the more detailed recommendations contained in the report, are many. The Council is committed to working with the Administration, individual agencies, and Congress to help improve Federal stewardship through a variety of mechanisms. At its March, 2001 meeting, the Council endorsed a strategy for monitoring progress and following up on the report to ensure that its recommendations are actively considered and implemented. The Council will pursue public outreach, targeted educational efforts with senior managers and other key Federal employees, and policy and program improvements of various types as called for in the report. As part of this process, it will work closely with and seek cooperative arrangements with the affected Federal agencies.

7. *What are the major findings and recommendations of the report pertaining to the four major land managing agencies funded in the Interior bill: BLM, NPS, F&WS and USFS?*

The report notes that each of these agencies needs additional targeted funding and staffing to support its historic resource stewardship activities. For example:

Asset management problems related to funding shortfalls are growing daily. Maintenance is often deferred, and the backlog of deferred maintenance needs is increasing. In spite of this, cultural heritage program funding is not considered to be a high budget priority. For example, for the Bureau of Land Management and the Forest Service, the two public land-managing agencies with combined responsibility for more than 460 million acres of land and significant public recreation and interpretive programs, heritage funding amounts to less than 1 percent of their respective budgets. This translates into unmet needs and backlogs in inventory, evaluation, protection, and monitoring. In areas subject to population pressures and public recreation needs, similar difficulties are affecting interpretation, visitor access, and safety (*Caring for the Past*, p.56).

In addition to this and the other general findings and recommendations, which pertain broadly to all four of the land managing agencies funded in the Interior bill in varying degrees, the Council has also made the following relevant recommendations:

- ▶ To the President: Direct agencies [including the four Interior-funded agencies] to report annually to NPS and the Council with a listing of their 10 most endangered historic resources.
- ▶ To Congress: Expand and permanently authorize the Recreational Fee Demonstration Program to help fund stewardship activities; improve applicability and incentives for outleasing of historic resources.
- ▶ To BLM, USFS, and FWS: Improve integration of land and resource management planning with historic preservation and environmental compliance requirements in accordance with the NHPA as well as the National Environmental Policy Act.
- ▶ To NPS: Find better ways to address deferred maintenance needs and fund major repairs of significant deteriorating historic resources; improve consideration of historic resources in relation to protection of natural resource values; seek funding for conducting the quadrennial review of threats to National Register properties called for in NHPA; seek funding and other continuing support for its Federal Preservation Institute initiative; seek continued funding for Save America's Treasures; develop and maintain an information base for sharing data and experience with other agencies on concessions and concessioner agreements as a means to improve historic resource stewardship.

As one outgrowth of the Federal stewardship study, the Council has formed a Task Force on Balancing Cultural and Natural Resource Values in National Parks, and will be working with the National Park Service on appropriate principles for implementing these policies in planning, management, and operations. For more details on the characterization of issues facing these four agencies in their stewardship of historic resources, and possible corrective actions, please see the attached excerpts from the complete report (Attachment B). Summaries of the recommendations that were provided to the Secretaries of the Interior and Agriculture regarding the programs of the Bureau of Land Management and U.S. Forest Service, respectively, during the course of the Council's study were included in the appendix to the Council's report. The relevant sections are also excerpted here as part of our response to the Committee (Attachment C).

8. We understand that the report proposes an Executive Order on Federal stewardship. What would the Executive Order do and what is the Council's role in implementing it?

The proposed Executive Order on Federal stewardship of historic assets would improve agency management of and accountability for the Nation's heritage, focusing on the historic resources which the Federal Government holds and manages on behalf of the American people. The proposal includes the following elements:

1. Clarifies Federal policy to provide leadership and promote historic resource protection and enhancement through protection and continued use of Federal historic buildings and sites and adherence to high standards in their care.

2. Improves Federal agency planning and accountability by directing agencies to assess resource conditions and management status, report on corrective actions underway or planned, review agency policies and procedures, and annually report on progress with inventory and protective actions for those resources under Federal ownership or control. Agencies are also directed to name a senior official to assume policy level oversight responsibility for agency historic preservation efforts.
3. Supports preservation partnerships between Federal agencies, Indian tribes, State and local governments, and the private sector by encouraging such partnerships to advance common goals and objectives.
4. Improves Federal stewardship of historic resources by directing agencies to consider long-term preservation and use of historic resources under Federal ownership or control for mission purposes, and to establish a program for cooperative activities that would achieve these purposes with nonfederal parties, including local communities. Directs the Advisory Council on Historic Preservation and the National Park Service to assist agencies in these efforts by using their existing authorities to administer support and making necessary training available. Specific direction on carrying out existing policies and orders is often non-binding or inadequate, and the protection and enhancement of historic resources remains at a distinct disadvantage in relation to other national priorities or agency missions. Many provisions of law, such as the historic preservation program requirements contained in Section 110 of NHPA, have never been fully implemented. Despite management and financial accounting reforms, there remains a lack of accountability. Indeed, most Federal agencies do not even know the extent, importance, or condition of the historic resources for which they are responsible.

While all Federal agencies must consider historic values in their planning and decision-making, and Federal agencies that own, control, or manage resources have stewardship responsibilities for historic resources, these responsibilities are not generally accorded priority attention. Federal personnel and funding devoted to these needs is an extremely small percentage of Federal resources. Plans, policies, and performance standards offer little acknowledgment or guidance to agency executives or managers. Few incentives are offered for proper care of these resources, some of which are of national and even international importance.

A clear and firm message is needed from the highest levels of government that protection and enhancement of the Nation's historic patrimony is indeed a national priority. This message should remind Executive Branch agencies to take the lead in caring for the resources under their stewardship as valuable assets that may fulfill a variety of public benefits. Federally-owned historic resources can contribute significantly to the fabric and character of local communities. Federal leadership in programs and actions should showcase Federal agencies as "good neighbors" in working closely with State, Tribal, and local governments and the private sector to preserve this heritage.

Such a directive would ensure better implementation of existing mandates and improve accountability, and would :

- ▶ Reinforce the Federal government's leadership role as a public steward;
- ▶ Ensure a firmer basis for Federal planning, budget formulation, and decision-making;
- ▶ Promote intergovernmental cooperation and foster private initiative and investment; and
- ▶ Direct focused attention on training and other support to help Federal policy makers, managers, and field employees carry out their responsibilities effectively.

The Council would help to coordinate agency activities under the Executive Order, and specifically:

- ▶ receive agency assessments of the overall condition and management status of historic resources owned or controlled by each agency;
- ▶ consult with agencies on their regulations, management policies, and operating procedures for meeting Section 110 of the NHPA;
- ▶ in consultation with the Secretary of the Interior, prepare guidelines for Federal agency reporting of historic resource stewardship progress, and incorporate collected information into the Council's annual report to the President and Congress;
- ▶ encourage and accept donations of money, equipment, and other resources for assisting Federal agencies in their stewardship activities; and
- ▶ work with the NPS and other agencies on a program of training, education, and awareness related to historic resource stewardship.

If the Executive Order is issued, we will have to review our workload and staffing carefully to determine how best to meet these responsibilities. A number of them are closely related to ongoing Council work and would be fairly easily integrated. Some, though, would require diversion of existing resources to meet the Presidential directive.

9. What are the implications of the President's emerging national energy policy for the Council and its workload?

To contribute to this Administration's goal of increased domestic energy production we anticipate a realignment of our case and program review priorities to accomplish several goals.

We will have to give priority attention to power plant construction, retrofitting, and new energy development proposals reviewed under Section 106, including fossil fuels exploration, recovery, and delivery; power generation and transmission; reclamation activities; and other related actions. Among other things, we expect to see renewed emphasis on environmental review streamlining, mitigation banking, and best practices as a result of the Vice-President's Task Force report. A recent example is our current review of plans by PG&E to construct a natural gas

fired power plant in Athens, New York. This proposal, which will require issuance of a Section 404 permit by the Army Corps of Engineers, has raised issues about visual effects to historic properties in the Hudson Valley, including Olana, a National Historic Landmark. The case is being handled exclusively by the Director of the Council's Office of Planning and Review to help ensure that our review is expedited. Similar priority attention will be given to other power plant proposals.

We also need to capitalize on programmatic solutions to streamline review under Section 106. For example, we are now exploring programmatic ways to compress Section 106 review for ongoing maintenance and operation of historic natural gas infrastructure. We have also developed, and hope to further promote, guidance for development of management plans for historic hydroelectric facilities. This information was developed to help facilitate Federal Energy Commission relicensing activities. Fortunately, the Council has been working hard to develop outreach to the hydropower industry, and networks are in place to promote use of this guidance. Regarding another energy issue, we will also have to give priority to reviewing energy exploration activities on Federal lands, both for individual actions and programmatic solutions.

Many of these activities fall within our normal operations. Nonetheless, to give priority to a full array of energy related activities, while not sacrificing service to other Federal agencies and project sponsors seeking Council review, will require additional resources, either through appropriated funds or cooperative agreements with involved Federal agencies.

10. To what extent is the Council involved in the Federal wildfire management program?

The Council is involved in the Federal wildfire management program in two ways. On the one hand, the Council is actively engaged in discussions with individual Federal land managing agencies as well as an interagency working group on programmatic approaches to improving wildfire management activities with protection of historic and cultural resources (see response to Question 3 above). At the same time, the Council has been participating in policy discussions convened by the Council on Environmental Quality with headquarters representatives of the relevant Departments and bureaus to implementing the Federal wildland fire management program authorized and funded under the Department of the Interior and Related Agencies Appropriations Act of 2001. These discussions have focused on identifying potential funding allocations, suggesting necessary environmental review improvements, and overseeing other mechanisms to respond to the priorities and improved coordination needs identified in the legislation.

11. Describe your major reimbursable activities.

For all of our reimbursable activities, the Council has cooperative or interagency agreements to permit transfers of funds for carrying out mutually agreeable activities. These funds are typically allocated by the cooperating agency and made available for Council billing and collection as specific tasks are carried out, usually on a quarterly basis.

Department of the Army: Currently the Council has two interagency agreements with the Army; one with the Army Environmental Center at Aberdeen Proving Ground and the other with the National Guard Bureau.

The original Army/Council interagency agreement was signed in 1996 and was amended in August 2000 to extend the agreement for 5 years. The Council received an allotment of nearly \$400,000 from the Army between the end of FY2000 and the beginning of FY2001 for projects that were to begin in FY2001, and these funds are available for two years. These projects included finalizing the Army Alternate Procedures process to streamline Section 106 compliance, assist the Army in planning and executing a number of nationwide conferences including the Army's Native Peoples Conference, and preparing guidance for the Army to use in planning and consultation when historic properties are located within restricted areas or are associated with classified information. The Council believes that the work efforts with the Army will continue over the next fiscal year at approximately the current level. FY2002 efforts will likely focus on implementation of the Army Alternate Procedures and developing and delivering associated training.

The 5-year Guard/Council interagency agreement was just signed in August of 2000 for which the Council received an allotment of \$300,000 in FY2000 funding. The Council has been involved in two major efforts with the Guard; one to review Integrated Cultural Resources Management Plans for individual State Guard Units, and the other to produce tribal consultation guidelines for the Guard. Both of these efforts will be completed during FY2001. At the present time, no additional work initiatives are in the planning stages between the Guard and the Council.

Natural Resources Conservation Service: After signing an interagency agreement between the Natural Resources Conservation Service and the Council, the Council received an allotment of \$40,000 to assist in investigating program initiatives that would streamline the NRCS historic preservation process. Unfortunately, the staff member originally assigned to work with NRCS has now been detailed to BLM, so the scope of work is now being revisited. Initially an alternate procedure process was considered; however, after further discussions with NRCS a nationwide programmatic agreement was felt to be a more appropriate agency approach. The Council is working with NRCS staff to develop this agreement.

Training: At present, the Council is involved with two training-related partnerships that provide reimbursement to the Council.

University of Nevada, Reno (UNR): In all but one of the fiscal years since 1991, the Council has executed a cooperative agreement with UNR for joint training and educational activities providing for UNR to reimburse the Council for specified expenses related to co-sponsored courses. These typically include course-related travel costs and some costs related to course preparation and development. In FY 2000, UNR reimbursed the Council \$77,943 for such costs. In FY 2001, the Council estimates receiving about \$85,000 from UNR as reimbursement for costs related to introductory-level courses about Section 106 review and several special courses

for the U.S. Forest Service. The FY 2002 reimbursement from UNR is likely to remain in the \$75,000 - \$85,000 range.

Naval School, Civil Engineer Corps Officers (CECOS): Through this partnership, the Council teaches several preservation courses each year for Department of Defense personnel and is reimbursed for instructors' travel and other course-related costs. In FY 2001, the Council estimates total reimbursements from CECOS of about \$5,000. Because the Council has not yet worked out its partnership arrangements with CECOS for FY 2002, no estimate can be made at this time regarding potential FY 2002 reimbursements.

12. Your budget justification indicates that you give priority to those Federal agency programs that have the greatest potential to affect historic properties. Which agencies are these? What percent of your staffing time and budget are expended on your Federal program responsibilities?

Based on the degree to which an agency's activities have the potential to affect historic properties and the volume of casework each agency has traditionally generated, certain Federal agencies have been assigned to professional staff. This approach has provided for the quick distribution of work and has ensured that staff, when working with critical agencies on program improvements, are knowledgeable about the agency's performance under Section 106. Agencies now assigned include the United States Postal Service, the Federal Communications Commission, the Office of Surface Mining, the Forest Service, the Department of Veterans Affairs, the Corps of Engineers, the National Park Service, the General Services Administration, the Federal Energy Regulatory Commission, the Bureau of Reclamation, the Federal Highway Administration, the Department of Housing and Urban Development, the Department of Energy, the Bureau of Land Management, the Federal Aviation Administration, the Air Force, the Army, the Navy, and the Federal Transit Administration.

It is, in some sense, arbitrary to draw rigid distinctions between project review under Section 106 and our Federal program review activities; oftentimes casework leads seamlessly into pursuit of a programmatic solution to confront problems posed by the case. Likewise, in many instances working through the issues presented by a particular case can lead to institutional program improvements within the agency. It is therefore difficult to offer a specific percentage for program activities, but general estimates are possible. Approximately 40-45% of professional staff time in the Office of Planning and Review is devoted to program review functions. As more and more agencies become familiar with the new regulations and begin to explore various new programmatic options now available, it is estimated that these percentages of staff time devoted to program review will continue an upward trend.

13. You also have important training and technical assistance responsibilities. Please summarize these and indicate the workload and staffing costs involved.

The Council fulfills a key aspect of its mandate under the National Historic Preservation Act by

activities and related authorities. The Council's education program instructs Federal, State, local and tribal officials, contractors and applicants for Federal assistance in the requirements of Federal preservation law and Section 106 review and is closely linked to its other technical assistance and program activities. These educational and technical assistance activities support the Council's strategic goals of educating the primary participants and stakeholders in the Section 106 process, facilitating the effectiveness and efficiency of the Section 106 review process, and providing agency officials and project managers with information they need in order to incorporate historic preservation considerations and responsibilities into their planning, program development, and project implementation.

To carry out its training and technical assistance responsibilities, the Council:

- ▶ utilizes and integrated program of training, guidance, technical assistance, and educational outreach;
- ▶ responds to the needs of Federal, State, tribal, and local government agencies, affected private sector interests, and the public for training, guidance, technical assistance, and information about the Section 106 process and other aspects of the national historic preservation program; and
- ▶ offer assistance in training and encourage improvement in agency training programs.

Recent Council efforts in carrying out these responsibilities have included:

- ▶ presenting a series of short introductory-level courses on Section 106 review;
- ▶ developing guidance and information materials for Section 106 users;
- ▶ providing speakers for workshops, meetings, and conferences held by other agencies and organizations;
- ▶ collaborating with partners to develop and expand training initiatives;
- ▶ continued cooperative development and presentation of specialized training for the Forest Service, military services, FEMA, a telecommunications work group, Indian tribes, and others; and
- ▶ providing advice, technical assistance, educational outreach, and educational materials to agencies and other groups with which the staff is working.

The workload for the above activities is substantial, with staffing and associated costs largely spread over most of the Council's program staff. Three full-time staff coordinate and administer the Council's educational activities. Additional Council staff teach courses, speak at sessions held by others, provide technical assistance to participants in the Section 106 process, and work with education program staff in developing and reviewing curricula and educational materials and in tailoring courses and presentations for special targeted audiences. Such work is easily the equivalent of several more full-time staff positions, and supports and meshes with other Council efforts in preservation program improvement and enhancing the capabilities of Section 106 participants to carry out their respective roles. The critical need to provide training and technical assistance for an increasing number and range of groups, including Indian tribes, local governments, and private industry, is straining the Council's staff and budget resources. A current distance learning joint initiative may help address some of these needs, but by far the

most effective training and technical assistance remains face-to-face interaction and dialogue with Section 106 users.

14. Please summarize what the Council's criteria are for getting involved in the Section 106 process. How often does this happen?

Included as Appendix A in the Council's regulations (36 CFR Part 800), the *Criteria for Council Involvement in Reviewing Individual Section 106 Cases* guide the Council in deciding whether or not we should join consultation to resolve adverse effects. The Criteria set forth those circumstances involving an undertaking which would likely lead the Council to conclude that it should participate. Such an undertaking would be one that [1] has substantial impacts on important historic properties (such as those that possess national significance or may be a rare property type); [2] presents important questions of policy or interpretation (where, for example, there are serious questions about how an agency is applying the Council's regulations); [3] has the potential for presenting procedural problems (such as undertakings where there is substantial public controversy or litigation may be likely); and [4] presents issues of concern to Indian tribes or Native Hawaiian organizations. From the beginning of January 2001 through the present, the Council has elected to become involved in consultation for 45 undertakings.

15. Please provide a listing, by State, of prominent cases which are currently open. If you have these data already compiled for another recent date, you may use that information.

The appendix to the Council's FY 2002 Budget Justification lists by state current and recent prominent cases involving the Council. That list, which is attached here (Attachment D), demonstrates the wide variety in the types of projects under Council review and their broad geographic distribution.

Many of the cases on this list have the potential to result in significant impacts to important historic properties, as with management of historic properties at Pearl Harbor and major redevelopment at San Francisco's Presidio. Others present complex preservation issues and policy concerns. One such issue is how to balance stewardship of natural and cultural properties, a major factor in cases such as development of a management plan for the Yosemite Valley in California and the proposed demolition of the Stillwater Lift Bridge on the St. Croix Wild and Scenic River. Public controversy and even litigation mark some cases, such as development of commercial air service that may impact Minute Man National Historical Park near Boston or transfer of portions of Vieques Island to the Commonwealth of Puerto Rico. A number of cases, such as operation of Glen Canyon Dam in Arizona and construction of new telescopes on Mauna Kea in Hawaii, hinge on concerns of Indian tribes and Native Hawaiians regarding impacts to properties of traditional religious and cultural significance.

16. We understand that it is possible that you may be forced to move out of your current offices. What is happening on this move? Does your request provide for all funding needed in case you do have to move in FY 2002?

We have no additional information from GSA on the timing of this move, which has changed a number of times in the last few years. We have been anticipating that in a forced move most of the costs would be borne by GSA, but we would certainly prefer if possible to have a say in both the timing and new location. Currently there is no money included in the FY 2002 request to cover any costs that would be incurred by any move. The Council received \$25,000 in the FY 2001 appropriations which has been applied to this year's increases in fixed costs, and the Office of Management and Budget has allowed us to add that amount to our base for FY 2002. We are currently conducting a space-needs assessment, and will be identifying any additional funding needs in more detail over the next few months. We will share that information with the Committee.

Council Members
(as of April 8, 2001)

Chairman

Cathryn Buford Slater (Arkansas, 2001)

Vice Chairman

Stephen B. Hand (Louisiana, 2001)

Expert Members

Bruce D. Judd, FAIA (California, 2003)

James K. Huhta (Tennessee, 2002)

Arva Moore Parks McCabe (Florida, 2003)

Parker Westbrook (Arkansas, 2003)

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Hon. Mel Martinez

Secretary of Transportation

Hon. Norman Y. Mineta

Chairman, National Trust for Historic Preservation

William B. Hart (Maine)

President, National Conference of State Historic Preservation Officers

Edward F. Sanderson (Rhode Island)

Observer:**Secretary of Defense**

Honorable Donald H. Rumsfeld

Observer:**General Chairman, National Association of****Tribal Historic Preservation Officers**

Alan S. Downer (Navajo Nation)

uniformed and civilian personnel were reduced. With a smaller force, infrastructure needs changed, requiring a reduction in facilities. Pressure was exerted through legislation and budgeting to effect these reductions, including base closure and "realignment." New approaches to overall management, including contracting for some services previously provided by the military and "privatizing" others, were also introduced throughout the 1990s to address the military's changing needs.

At a DoD historic buildings conference in Annapolis, Maryland, in July 2006, the Deputy Undersecretary of Defense for Environmental Security observed:

The Department [of Defense] has a substantial property maintenance backlog and a shrinking DoD maintenance budget. Since 1995, many independent reports have concluded that DoD's funding is not sufficient to produce, maintain, and operate quality housing. In addition, there is a perception on Capitol Hill that we are not doing enough to cut costs. Some fear that with over 70,000 additional structures eligible for historic status over the next 30 years that we will not be able to maintain our existing inventory without huge budget increases—increases that many in Congress will never accept. Our challenge in managing historic properties is to move beyond compliance—to pursue bolder resource management initiatives, and to adapt and reuse historic buildings for other uses.

The Deputy Undersecretary went on to note:

In some cases, historic building requirements do mean higher maintenance costs. In many cases, however, relevant factors are the size of the building, deferred maintenance, and sometimes-costly environmental requirements like lead and asbestos removal. We need to adapt historic resources to meet new and innovative functions, and to keep pace with technological advances. We also need to dispose of excess real property. Our challenge is to find appropriate adaptive uses for historic buildings, and economical mothballing practices to safeguard them during interim periods of disuse. We need to increase

the viability of our historic properties as operational and economic assets as well as cultural objects.

Pressure for additional military base closures and other operational efficiency measures, as well as accelerated modernization of military housing, active training facilities, and other high priority operational facilities (including those proposed to support National Missile Defense deployment) may be expected in the near future.

PUBLIC LANDS AND MULTIPLE USES

Bureau of Land Management

The Bureau of Land Management (BLM) within the Department of the Interior manages the largest percentage of public land and associated resources in the Federal Government. BLM is responsible for 264 million acres of land—about one-eighth of the land area of the United States—and about 300 million additional acres of subsurface mineral resources. BLM is also responsible for wild-fire management and suppression on 388 million acres of Federal and State lands under interagency agreements, and works with the military services and other Federal agencies to jointly administer public lands withdrawn for special Federal uses (such as bombing ranges or western water projects). Most of the lands under BLM management are located in 12 States in the western U.S., including 87.3 million acres in Alaska. An eastern States office administers small parcels of land and reserved subsurface minerals in States bordering and east of the Mississippi River. BLM also maintains the records of public lands surveys, dating back to the Land Ordinance of 1785, and the records of the General Land Office, founded in 1812, chronicling the exploration, survey, mapping, and settlement of lands west of the original 13 American colonies.

BLM's mission direction and its management focus have evolved considerably over the years, and while it remains dedicated to "multiple use" of public lands it has increasingly found itself involved in providing outdoor recreation opportunities for the urbanizing west. Recently BLM has acquired additional specific responsibilities for managing a number of newly designated National Monuments—Grand Staircase-Escalante in

Utah, designated in 1996, and three monuments in Arizona and California designated in 2000: Agua Fria, Grand Canyon-Parashant, and California Coastal National Monuments.

Currently, BLM has approximately 255 listings in the National Register of Historic Places, encompassing more than 3,610 contributing properties, 22 National Historic Landmarks, and five World Heritage sites comprising portions of the Chaco Canyon prehistoric outlier sites in New Mexico. New National Register listings are being added at a rate of approximately one per month. Portions of eight National Historic Trails covering 3,500 miles cross the public lands, while at least 5,000 additional trail miles occur along 10 other historic trails. Known historic structures on BLM lands include prehistoric pueblos, cliff dwellings, antelope and bighorn sheep traps, and agricultural features, as well as historic-period mining structures (such as smelters, mill sites, and charcoal kilns), ranch buildings, adobe forts, stagecoach and Pony Express stops, rail lines and associated structures, town sites, lighthouses, cabins, and Depression-era schoolhouses.

Approximately 228,000 archeological and historic resources have been recorded on the roughly 13.9 million acres of public lands that have been inventoried for cultural sites, which is only about 5 percent of all lands administered by BLM. Conservative estimates of the number of archeological and historic properties that may exist on BLM holdings range from four million to four and a half million.

Responsibilities for BLM's cultural resources programs are spread throughout the field structure, which includes State Offices and local Field of District Offices, as well as a headquarters Cultural Heritage, Wilderness, Special Areas, and Paleontology Group under the Assistant Director for Renewable Resources and Planning. Numerous historic properties are under active protection, many of them in established BLM interpretive sites or recreation areas, and many more are subject to regular patrolling, electronic surveillance, and other protective measures.

In Arizona, for example, BLM is responsible for 51 Areas of Critical Environmental Concern covering more than 800,000 acres; 12 of these areas were designated largely to protect historic and archeological resources. The new Agua Fria National Monument north of Phoenix, Arizona, covers 71,000 acres and contains one of the most significant collections of late prehistoric resources in the American Southwest—at least 450 sites are known, and there are likely many more in the area's rugged countryside. The area has long been under BLM jurisdiction, and much of the management will remain unchanged. Unlike a National Park Unit, livestock grazing, hunting, fishing, and similar activities will be allowed to continue, and the 1,440 acres of private property within the boundaries, or other valid existing rights such as water rights, will generally not be affected. However, new mining claims, geothermal leasing, and off-road vehicle use will be prohibited, and it is hoped that more funding will be available for resource protection, public interpretation, and visitor access.

The situation overall, however, is outlined by BLM:

The BLM manages the largest, most diverse and scientifically most important body of cultural resources of any federal land managing agency. However, much of this cultural resource base is seriously threatened. This "Great Outdoor Museum," which has the potential to document the full sweep of western prehistory and history, will soon lack sufficient integrity and representativeness to relate anything more than minor anecdotes.... Natural and human-caused threats are reducing our opportunities for interpreting sites, for providing long-term access to properties valuable to Native Americans and other ethnic groups, for promoting and facilitating scientific research, and for conserving properties for the future. Increasing visitation to the public lands is resulting in intentional and inadvertent damage through collection, vandalism, surface disturbance, and other depreciative behavior. Increasing land use authorizations for rights-of-way, mining, public facilities and other legitimate and necessary uses of the public lands continue to result in an ever-diminishing cultural resource base. With every year that

passes, the diversity of our cultural resources is reduced, and we lose more of our ability to tell the story of the public lands.³⁸

In the Bureau of Land Management, for example, "the Bureau's budget has been flat over the last decade and has seen its workforce decline over this time period even though its workload has become more complex." BLM's operating budget amounts to \$2.82 per acre, compared to \$6.65 per acre for the Forest Service and \$16.85 per acre for the National Park Service. Similarly, the Forest Service manages 27 percent fewer acres but employs 28 percent more cultural heritage specialists, and NPS manages less than one-third the acreage of BLM but has more than five times the number of cultural heritage personnel.

On the plus side, a number of successful projects have been completed or are underway in Arizona, and provide an idea of the broader range of BLM's programs throughout the West. These include an ongoing cooperative arrangement with the Sierra Club to help BLM record prehistoric rock art on its lands; a cooperative agreement with the Utah Wing of the Civil Air Patrol to conduct monitoring flights for protection of cultural resources north of the Grand Canyon; acquisition and protection of the Empire Ranch, part of what used to be one of the largest cattle ranches in the southwest and home to an adobe ranch house built in 1876; and management of the early 20th century copper mining town of Swansea, including use of an Arizona Off Highway Vehicle Recreation Fund grant to address public safety hazards and protect and stabilize some of the remaining structures.

BLM plays a major role in Arizona Archeology Month, one of the most comprehensive public awareness programs of its type in the country. BLM also participates in Arizona's Site Stewards program, a public-private partnership under the direction and oversight of the Arizona State Historic Preservation Office that supports the work of citizen volunteers to monitor specific areas or sites and report incidents of looting, vandalism, and other destructive action.

However, given the scale and scope of BLM's responsibilities, funding and staffing remain inadequate. Many programs and projects must be pursued as limited time, money, and personnel resources permit, and BLM has looked for ways to leverage its resources through a variety of partnerships and cooperative ventures. In part this has been reflected in BLM's willingness and ability to work with States, tribes, local communities, and others. These laudable efforts need to be supported and sustained throughout BLM. BLM itself has recognized the need for:

- raising the awareness and understanding of managers and supervisory staff as well as line range and commodities personnel;
- finding ways to achieve more effective integration of cultural resource considerations in project planning;
- taking full advantage of public-private partnerships (like those outlined above) that may help BLM meet its stewardship responsibilities more efficiently and effectively;
- making priority investments in non-project-driven planning to establish reliable context and management documents that are responsive to the values of the resources;
- identifying good, replicable models to improve public and tribal involvement to more fully consider and integrate their concerns and contributions; and
- looking for ways to achieve greater parity between cultural resource management needs, multiple use pressures, and other aspects of BLM's mission.

U.S. Forest Service

The Forest Service, a bureau of the Department of Agriculture, manages 155 National Forests and 20 grasslands on more than 191 million acres of public land, 8.3 percent of the total U.S. land area. More than 85 percent (163 million acres) is within 12 western states. The

³⁸ "Strategic Paper on Cultural Resources at Risk," Bureau of Land Management, June 2000.

Forest Service manages many congressionally designated areas including Wilderness Areas (34.7 million acres), National Monument Areas (3.7 million acres), National Recreation Areas (2.7 million acres), National Historic Areas (6,540 acres), National Game Refuges and Wildlife Preserves (1.2 million acres), National Scenic Research Areas (6,630 acres), and National Wild and Scenic Rivers (4,348 miles, 95 rivers). The Forest Service administers these lands and resources under the Organic Administration Act of 1897, the Multiple Use-Sustained Yield Act of 1960, and the National Forest Management Act of 1976, in addition to other mandates.

The Forest Service's principal responsibilities are reflected in its staff areas: Lands; Wildlife, Fish, and Rare Plants; Water, Soil, and Air; Range; Energy, Minerals, and Geology; Forest Vegetative Management; and Recreation, Heritage, and Wilderness. Responsibilities for the heritage program are spread throughout the field structure, beginning with more than 600 ranger districts, which are the smallest administrative unit of the 250 individual National Forests.

The National Forests are grouped within nine regions. The Federal Preservation Officer oversees the program from the Washington Office, as part of the Recreation, Heritage, and Wilderness Resources staff. Currently, the Forest Service employs approximately 350 permanent historic resource professionals, most of them archeologists.

Forest Service holdings encompasses a significant number of historic resources, with a combined total of more than 277,000 known resources on the roughly 38 million acres that have been inventoried. This represents about 20 percent of all lands administered by the Forest Service. Conservative estimates of the number of historic and archeological resources that may exist on Forest Service lands range from 1 to 1.5 million.

The Forest Service currently has approximately 900 listings in the National Register of Historic Places, 15 National Historic Landmarks, and one World Heritage Site (one of the Chaco Canyon prehistoric outlier sites, at Chimney Rock, Colorado). As documentation is pre-

pared, new National Register listings are being added at a rate of approximately two per month. All of these documented resources are listed in a variety of inventories kept at each forest and managed by heritage specialists.

The Forest Service's annual budget for the Heritage Program has been about \$15 million, less than .4 percent of the total Forest Service budget of \$3.4 billion. Funding reached its height in 1994 at \$29.9 million, and has remained flat for the past six years. The Forest Service has noted that its limited budget and staffing is affecting its ability to track and manage its holdings while lacking basic database capability as well as specific information on the nature, significance, and appropriate management of historic resources. Its ability to meet recreation, public education, and interpretation demands has been seriously curtailed, as well as its responsiveness to inappropriate uses, including serious vandalism and looting. As with BLM, road construction, timber harvesting, and other extractive uses and spin-off effects must all be addressed.

The Forest Service changed its budget allocation process a few years ago to direct far less to its heritage program overall, but in its place determined to provide monies for Section 106 compliance for whichever program needs such compliance. For example, funding for surveys in proposed timber sales has typically come through the timber program, and similar needs for fire management through the national fire plan. This has created a situation where there is very little money allocated directly to the heritage program for each Region and individual forest—certainly not enough to comply with the expectations and requirements of Section 110 of NHPA. In the mid 1980s, the Sierra Nevada Forests in California developed an archeological and environmental resources management initiative—the Framework for Archeological Resources Management (FARM). The initiative is designed to integrate cultural resource management into the Forest Service's planning process and overall management strategy.

Unfortunately, since development of the original plans, the Forest Service has not allocated the money necessary to implement them, and now the affected forests are

"horribly out of compliance" with the plans.³⁷ This situation may change somewhat as both agencies will be faced with substantial pressures (and additional funding) to improve land and resource management, in part because of recent emergency appropriations in connection with the serious wildland fire emergencies in 2000.

For the past 10 years, the Forest Service has also tried to put more emphasis on the Federal responsibility to share heritage information with the public. "Windows on the Past" is the umbrella for public programs and products whose goal is to make heritage sites, knowledge, and experiences accessible to the public. Windows on the Past covers a variety of efforts, including several national programs as well as numerous local interpretive programs and products, school programs, and community outreach efforts. The best known and most successful of these is Passport in Time, a volunteer program in which the public assists Forest Service archeologists with preservation activities. Archeological excavation, survey, historic structure restoration, archival research, and gathering oral histories have been prominent Passport in Time projects. The Forest Service has hosted more than 1,200 projects since the program's inception in 1989. About 200 to 220 projects a year are undertaken by the nine Forest Service regions each year. Many of the projects are developed in cooperation with universities, local communities, and other Federal and State agencies.

A newer program is called Heritage Expeditions and is being developed under the Recreation Fee Demonstration legislation (P.L. 104-134). These are educational tours ranging from archeological excavations, to rock art restoration, to primitive tool use. Fees from the program are intended to fund protection and continued public access to heritage sites and experiences. The Forest Service hosts about 20 Heritage Expeditions each year, and more could be added in the future.

As with BLM, the Forest Service has been forced to find creative ways to integrate its stewardship and other mission needs. For example, the Sears-Kay ruin is a prehistoric archeological site on the Tonto National Forest just north of Phoenix, Arizona, which is located along the

Great Western Trail, a 3,000 mile-long backcountry, off-highway vehicle route. Site preservation, stabilization, interpretation, and construction of a picnic area and toilet facility were facilitated by a partnership that included the Off-Highway Vehicle Fund of the Arizona State Parks department, the Cactus Kickers Hiking Club of Arizona Public Service, the Desert Foothills Chapter of the Arizona Archeological Society, and assistance from a Federal Bureau of Prisons local inmate work crew.

The Forest Service is currently updating its Heritage Resource Management Manual, which is intended to address all aspects of cultural resource management from inventory to enhancement and includes direction on tribal consultation. The manual also includes a collections management policy to guide the agency in its effort to improve accountability for the management of artifact collections, and better distinguish Federal from non-federal holding in museums and other repositories. The Forest Service employs a full-time Native American Graves Protection and Repatriation Act coordinator to assist the agency to meet the requirements for existing collections and human remains, as well as new and inadvertent discoveries.

New Forest Service manual directions under development will address integration of Section 106 review with NEPA planning, with the objective of implementing a more comprehensive process that allows for a broader assessment of heritage resources and project impacts.

The Forest Service is also currently developing an agency-wide computerized data management plan of which heritage is a part. The National Heritage Information Management Initiative is working to integrate heritage information at all levels of the agency's data management program. It is a daunting task, given the range of data programs in use at local and regional Forest Service field offices.

Common Concerns

The most substantial challenges the Forest Service and the BLM face concern limited staffing and funding of these programs compared to the scope of land

³⁷ Advisory Council on Historic Preservation Historic Preservation Specialist C. Gleichman, personal communication, June 2000.

holdings, management issues, and the legal requirements that must be met. New policy and internal guidance in both agencies is directed at streamlining individual project reviews so that field specialists may invest more time in proactive work. While both agencies continue to search for more efficient and effective ways of meeting their heritage responsibilities, increased demands on public lands, coupled with the increased complexity of consultation with States, Indian tribes, and other parties, have increased the time and effort required to meet Section 106, NAGPRA, and other review responsibilities, negating much of the time savings that has accrued through such efforts.

The vast majority of Forest Service and BLM heritage assets have no annual maintenance performed on them. Currently, the Forest Service Heritage Program does not have the database capability to comply accurately with Deferred Maintenance requirements requested by the Chief Financial Officer. The approach for 1999 and 2000 has been to develop a strategic framework for annual reporting and identification of priorities with incrementally better data, while developing agency business tools to provide an updated, accurate inventory of heritage assets and funding needs.³⁸

Due to limited staffing in relation to workloads, many field offices have been unable to meet reporting needs and are falling behind in production of reports for review and use by planners and others. This is creating a continuing backlog of evaluations of historic resources for management purposes. The relatively common practice of saving time and money by avoiding identified properties through project redesign prior to evaluating them for National Register eligibility has contributed to the difficulty of managing resources whose values remain largely unknown. Funding and staffing levels have rarely permitted proactive inventories of areas with high potential for significant cultural properties and evaluations of known, important sites.

During the 1980s, the Forest Service prepared many forest plans to guide management decisions. Those

plans, currently under revision, focus primarily on biological resources, addressing cultural resources most frequently in terms of the NHPA Section 106 responsibility to consider them in other agency management actions. It is one of the Forest Service's biggest challenges, echoed by a similar need in the Bureau of Land Management—to proactively integrate heritage assets in land management planning efforts.

One of the ways to achieve this goal is to more effectively integrate NHPA responsibilities into the environmental planning process called for by the National Environmental Policy Act. Projects and programs that affect land areas such as timber harvest, oil and gas development, and land exchanges can affect hundreds of historic resources. Sometimes consideration of those properties under NHPA does not take place until late in the NEPA decision-making process. Delaying Section 106 review until specific undertakings are defined prevents historic resources from being an effective factor in decision making.

Staffing and funding constraints have also made it more difficult to respond to, much less keep up with, increasing demand for educational and participatory programs in archeology and history. A 1994 National Survey on Recreation and the Environment indicates that visiting nature centers and historic sites were the two most popular activities on public lands. Further, a recent publication on volunteer vacations states that "archeological excavations have more volunteer hours given to them than any other type of activity." Still, while these demands grow, the Federal Government's ability to provide those experiences is declining. A good indicator is the Forest Service's Passport in Time program: the number of projects has increased from 37 in 1990 to more than 200 in 1999, but the Forest Service continues to turn away 20 to 25 percent of applicants, not due to lack of work to be done, but rather to lack of personnel and budget to organize it.

Inappropriate uses, vandalism, and looting continue to damage historic resources on BLM lands and in National

³⁸ Funding made available in the FY 2001 appropriations to address deferred maintenance needs and infrastructure improvement has largely been earmarked for offices and recreation facilities, not for historic resources.

Forests. As recreation visits, urban and suburban sprawl, and off-road use increase, vandalism and looting also increase. Rock art is defaced or removed; significant archeological sites are looted and artifacts scattered or stolen; burials are disturbed and human remains and grave items scattered or stolen; and historic period sites are scavenged for "collectibles." Many of these items end up in local, national, and international black markets.

In addition to the illegal activity, an increase in visitor use is taking its toll on protected resources. In short, many historic resources on public lands are being "loved to death." Proactive programs in both education and law enforcement are needed. Programs such as Passport in Time reduce the amount of inadvertent damage to cultural sites and increase public awareness of the need to protect sites, and Site Stewards help track such damage. However, commercial looting damages are much greater than that caused by increased use and visitation. Public education programs help, but cooperation between heritage programs and law enforcement is needed to pursue cases.

The Society for American Archeology (SAA), participating in discussions as part of the Council review of public lands management issues at the Phoenix, Arizona, meeting, has voiced concerns over policies restricting academic research on Federal lands. There is also a growing concern over control of access to information and academic freedom, particularly as it relates to the Federal Government's responsiveness to tribal concerns and to the conduct of archeological studies on both public lands and tribal trust lands. Advances in knowledge, or in ensuring up-to-date public interpretations of the past, may be conflicting with ongoing resource management and protection priorities. SAA has suggested that opportunities for collaboration between Federal agencies and academic institutions be explored more fully, particularly with regard to scientific research that could lead to better resource management and public interpretation. These are certainly areas that need more attention in the future to ensure that the wide range of values and potential public uses represented by these historic resources are adequately served.

In summary, public interest in archeology and history, particularly as it relates to recreation on public lands, is at an all-time high. Demands for educational and participatory programs increase every year. Use pressures and illegal activity also increase every year, threatening the non-renewable cultural resources. Federal land managers increasingly seek information on past environments and environmental change in order to better manage current ecosystems and make more informed management decisions.

All these demands require increased effort on the part of agency heritage personnel to first and foremost know what resources exist and understand their value. At the end of FY 2000, the Forest Service was in the process of formally adopting its national strategy, called "Heritage—It's About Time!" to set such priorities. BLM was engaged in a similar effort directed at managerial and budgetary support.

Without adequate funding, personnel, or baseline information about resource holdings, it is extremely difficult to provide land managers with accurate pictures of past land use, to provide opportunities for the public to gain knowledge of and enjoy heritage sites and experiences on public land, or even to protect the significant historic resources and make informed decisions about which ones to protect and invest further efforts in research and development.

PARKS, REFUGES, AND SANCTUARIES

National Park Service

The National Park Service in the Department of the Interior includes 379 units, approximately 83.6 million acres, ranging from major national parks and monuments, to scenic parkways, preserves, trails, riverways, seashores, lakeshores, and recreation areas as well as historic sites and battlefields.

NPS maintains several inventories of historic resources within the National Park System. An estimated 26,000 historic and prehistoric structures are included in the List of Classified Structures (LCS). The LCS is a

computerized inventory of all historic and prehistoric structures having historical, architectural, or engineering significance in which NPS has or plans to acquire legal interest. The LCS (and related inventories) assists park managers and technical staff in planning, programming, and recording decisions about appropriate management and treatment. Condition of these resources is continually threatened by weather, structural deterioration, erosion, and vandalism, as well as by other forces, such as fire or visitor use pressures.

As of the end of FY 1999, data on 24,255 structures had been updated. Approximately 44 percent were listed in good condition, 40.2 percent in fair condition, 12.2 percent in poor condition, and for 3.6 percent condition was listed as "unknown." Unfunded costs for treatments of historic structures approved through park planning documents, which were developed with a broad and varied range of public involvement, "currently tops \$1 billion." About 72 percent of that was for rehabilitation and preservation costs, and 17 percent for basic stabilization.

NPS understandably employs the largest number of historic resource specialists in the Federal Government. NPS also has the most extensive and comprehensive policies and technical guidance for managing these resources. Detailed management policies apply to resources in all units of the National Park System: all units have long-term general management plans that undergo public review, and most also have more specific development, land-use, and resource-specific plans as well as operating procedures for maintenance, visitor services, and other issues specific to the park or resource.

NPS management policies are currently under revision. They cover a wide range of topics from resource protection and interpretation to facilities management and visitor services and safety. The Cultural Resource Management guideline for NPS notes that according to the management policies,

pending planning decisions, all cultural resources will be protected and preserved in their existing

³⁸ *Cultural Resource Management Guideline* (NPS-28), p. 2.

conditions.... The National Park Service is steward of many of America's most important cultural, natural, and recreational resources. It is charged to preserve them unimpaired for the enjoyment of present and future generations. All park management activities stem from these resources. If they are degraded or lost, so is the essence of the park.

It goes on to note that:

In reaching decisions about resource treatment, moreover, preservation should always receive first consideration. Data recovery, rehabilitation, restoration, and reconstruction may sometimes serve legitimate management purposes. However, these treatments cannot add to and will likely subtract from the finite material, and sometimes even data sources, remaining from the past. Decisions about them should be based on awareness of long-range preservation goals and the interests and concerns of traditionally associated groups.... Internationally accepted historic preservation standards continue to stress the protection and perpetuation of authentic surviving resources.³⁹

This does not mean, however, that NPS stewardship is devoid of controversy, conflict, or major issues. Funding availability and deferred maintenance have long been a concern, and the manner in which priorities are set by park superintendents and others is often open to criticism.

Protection and management choices sometimes seem to pit natural and cultural resource values against each other, or protection of park values against public access and visitor services. Involvement of outside parties, including elected officials, concessioners and other business interests, or communities in gateway areas with an economic stake in management and use, is a constant reminder of the many public interests which the National Park System must address. Moreover, inholdings, special uses, permitted activities, and leases may also affect park management and other decisions, both inside and outside park boundaries. Finally, decisions to protect historic resources

may also be controversial—witness such recent examples as the relocation of the Cape Hatteras lighthouse, various redevelopment plans for Gettysburg National Military Park, or the imposition of climbing restrictions on Devil's Tower in Wyoming (a sacred site to many Indian tribes).

A major independent review of the National Park System and its challenges was released in 1997 by the Natural Resources Defense Council and the National Trust for Historic Preservation. Entitled *Reclaiming Our Heritage—What We Need to Do to Preserve America's National Parks*, the report recommended a wide range of actions. These recommended actions included:

- Issuing an Executive order focused on resource protection;
- Enhancing applied science and ecosystem management;
- Enlisting the help of gateway communities;
- Enhancing the visitor experience by establishing a reservation system for the National Parks;
- Increasing appropriations;
- Making Federal transportation funding for all park transportation systems, not just roads;
- Creating a new National Park capital improvement fund financed through the sale of National Park Federal agency bonds ensured by the Federal Government;
- Creating a new National Park Authority as a fully guaranteed Federal agency to issue National Park bonds;
- Providing assurance that all revenue collected in the parks stays in the National Park System;
- Providing assurance that those who profit from park resources do more to protect them; and
- Taking the Land and Water Conservation Fund off-budget, thus ensuring that its funds will be spent for the purpose of land acquisition and state assistance for which the fund was created.

In summary:

What is needed is a comprehensive response to the park problems. More money is needed and

⁴⁰ *Reclaiming Our Heritage*, July 1997, pp. viii-x.

mechanisms must be put in place to ensure that the money that does go to the parks is spent in a way that protects the parks' resources now and for the future. In addition, federal, state, and local agencies must recognize the impact of their decisions on park resources and act to protect them. Often what is happening near the parks is as consequential as what happens in the parks.⁴⁰

Given funding limitations as well as changing priorities and a diversity of management philosophies throughout the system, there remains a continuing tension between protection of natural and cultural resource values in parks, and between resource protection and visitor use needs.

For example, this issue of competing values has arisen at Elkmont Historic District in the Great Smoky Mountains National Park in Tennessee and North Carolina; at Cumberland Island National Seashore in Georgia; in the Upper Mississippi National River and Recreation Area in Wisconsin and Minnesota; in Rocky Mountain National Park in Colorado; and most recently, in Yosemite National Park in California.

At Yosemite, for example, the draft Yosemite Valley Plan analyzes alternatives for achieving NPS's broad management goals for Yosemite National Park. These goals, as set forth in the park's 1980 General Management Plan, include reclaiming priceless natural beauty; allowing natural processes to prevail; promoting visitor understanding and enjoyment; and reducing traffic congestion and crowding. Prior to the plan's development, NPS undertook other planning efforts in more specialized areas, resulting in a draft Yosemite Valley Housing Plan, draft Yosemite Valley Implementation Plan, and Yosemite Lodge Development Concept Plan. Some organizations and members of the public objected, however, to this segregated approach to planning in the park, and thus each of these plans were incorporated into the current draft Yosemite Valley Plan.

Prior to the development of the draft plan, NPS, the California SHPO, and the Council entered into a Programmatic Agreement in 1999 for the operation

and maintenance of the park. The park's Section 106 responsibilities for the draft plan therefore are being addressed in accordance with the terms of the PA. Because the plan's preferred alternative would adversely affect historic properties, NPS must consult with the California SHPO and the Council. The PA would allow use of standard mitigating measures to address the adverse effects, but the California SHPO must first agree to their use following consultation.

In July 2000, the Council provided NPS with initial comments on the draft Yosemite Valley Plan. Although the plan identifies the protection of both natural and cultural resources as a priority, the Council voiced concern over an apparent emphasis on natural resource restoration over the protection of some important historic properties. For example, the preferred alternative includes the removal of the historic superintendent's house in order to restore area natural resources, removal of four historic bridges to restore the natural flow of the Merced River, and removal of 277 tent cabins that comprise the most significant and last remaining complex of this type of structure in the National Park System. Other historic preservation organizations, including the National Trust for Historic Preservation, raised similar concerns about the proposed plan.

NPS met with the California SHPO to discuss possible refinements to the plan that would better address concerns about treatment of historic properties in the Yosemite Valley. NPS subsequently responded thoughtfully and fully to the Council's comments, and agreed to modify or reconsider several of the proposed actions that would more fully protect historic resource values. The historic superintendent's house would be relocated; only one bridge will be removed and the removal's effects on stream flow studied further; and a representative sample of tent cabins would be retained. Adaptive reuse of other historic structures will also be considered.

The draft Yosemite Valley Plan illustrates the often competing interests of protecting and preserving both natural and cultural resources in national parks. There is a great deal of public interest in preserving both kinds of resources; in fact, the entire Yosemite Valley is

considered a cultural landscape with both natural and cultural resources contributing to its significance. In addition, the Merced River is designated a "Wild and Scenic River" under the Wild and Scenic Rivers Act. This designation may affect how historic properties located in the river corridor, including archeological sites and eight historic bridges, are managed in the future.

In an effort to offer advice on the overall issues embodied in such tradeoffs, The Council has formed a task force to examine questions of balancing cultural and natural values in National Parks. The hope is that its findings and recommendations may ultimately be useful not only to the National Park Service but to other agencies facing similar dilemmas.

In order to begin to address long-term funding, maintenance, and related concerns, a demonstration program was begun in FY 1998 on a regional basis that is called "Vanishing Treasures." Intended to be used in National Park units in the arid West, it has three primary objectives. First, it focuses funding on emergency project needs where prehistoric and historic structures are in immediate, imminent danger due to natural deterioration and visitor use pressures. Second, it focuses on training and support for personnel with expertise in historic structures stabilization and restoration, and the transmission of crafts skills from aging specialists nearing retirement. Third, it promotes sustainability by slowly moving from an emergency mode to a continuing, in-place program that can meet these needs in the future, reduce the backlog of maintenance projects, and support a systematic approach to agency stewardship for these resource types.

Including base increases for personnel in selected parks, as well as small amounts for program administration and training of personnel, the authorized budget was \$1 million in FY 1998, \$1.987 million in FY 1999, and \$2.981 million in FY 2000. Mesa Verde National Park, for example, after years of trying to obtain much needed funds for ruins stabilization through cultural resources channels, has finally received some much-needed assistance through capital improvement allocations. More recently, the park received grant funds to stabilize the cliff dwellings, and to hire permanent staff.

NPS has also begun developing a broader national initiative known as the "Cultural Resource Challenge" to increase understanding and budgetary support for cultural resources in the parks. Modeled after a similar successful campaign to address natural resource issues, the initiative is currently in draft and has identified the following priorities:

Research and Knowledge—NPS must have credible research, documentation, and information in order to do the best job of preserving and interpreting our Nation's past.

Planning—The American people expect their historic places to be preserved for them in the most efficient, informed, and comprehensive manner.

Education—Americans want to understand their shared history; NPS must address their needs in the most effective way.

Preservation and Maintenance—NPS must have the best tools and adequate resources to do the job.

Organization and Partnerships—Preserving our Nation's past is everyone's responsibility; the Federal Government is one of many.⁴¹

The draft action plan outlines priorities for budget and program initiatives to advance these goals over the next five years, but it is unclear if comprehensive support for the plan will be included in the FY 2002 budget. Early information indicates that at a minimum, the Bush Administration will be supporting funding to begin to address the widespread maintenance backlog throughout the National Park System.

A second initiative NPS recently launched in cooperation with the National Park Foundation, is not directed at cultural heritage alone, but could have a major impact on use and appreciation of such resources. Known informally as "the message project," it is aimed at promoting the National Park System and bolstering public understanding, enjoyment, use, and attendance.

⁴¹ "Cultural Resources Challenge—The National Park Service's Action Plan for Preserving Cultural Resources," draft, September 2000.

Marketed as "Experience Your America—365 Days, 379 Ways," it includes a public advertising campaign and promotion of a new National Parks Pass for \$50 per year to cover entry to park units that charge a fee. What is not clear is how this initiative fits in with NPS plans to address overcrowding and use pressures in some parks, and whether the campaign will aggressively promote lesser-known and underused park units to try to help correct this imbalance.

U.S. Fish and Wildlife Service

The U.S. Fish and Wildlife Service (FWS) of the Department of the Interior is responsible for 521 National Wildlife Refuges as well as other facilities on 93 million acres. While principally regarded as a protector of biota and natural resources, FWS has a cultural resource management program, a Federal Preservation Officer, and some extremely important historic resources. FWS has documented more than 11,000 archeological and historic sites on a small percentage of its lands, and estimates that it is responsible for tens of thousands of additional sites yet to be identified.

Cultural properties range in age and type from the Sod House historic ranch on the Malheur National Wildlife Refuge in Oregon, to early 20th-century military fortifications in Fort Dade on Egmont Key National Wildlife Refuge in Florida. They also include a 10,000-year-old site on a refuge in Tennessee, a segment of the Lewis and Clark National Historic Trail on the Charles M. Russell National Wildlife Refuge in Montana, and Victorian-era historic buildings on the DC Booth Historic Fish Hatchery in South Dakota. In FY 2000, Congress and the Secretary of the Interior designated the Battle of Midway National Memorial in the Pacific, to be managed by FWS as part of the Midway Atoll National Wildlife Refuge.

However, FWS only has about 20 specialized employees nationwide to deal with historic resource management issues on FWS's vast holdings, many of which are not managed passively but modified to improve wildlife habitat and breeding grounds. It sometimes appears that FWS in general is unaware that it does have such

resources or does little to manage these heritage assets. In other cases, refuge managers and local community organizations are taking an active role in both protection and successful public interpretation.

An Executive order signed in 1996 sets new direction for FWS's Refuge System as it approaches its centennial in 2003. For the first time, a conservation mission has been designed for the Refuge System "to preserve a national network of lands and waters for the conservation and management of the fish, wildlife, and plants of the United States for the benefit of present and future generations."

The Executive order goes on to define six compatible wildlife-dependent recreational activities (hunting, fishing, wildlife observation, photography, environmental education, and interpretation) as priority uses of the Refuge System, and directs the Secretary to provide expanded opportunities for these activities. It defines four guiding principles for management of the Refuge System: habitat conservation, public use, partnerships, and public involvement. It also directs the Secretary, in carrying out his trustee and stewardship responsibilities, to undertake actions in support of management and public use of the Refuge System.

In some ways, FWS has been overlooked by many within as well as outside of the Federal Government, and its stewardship of historic resources has not been subjected to a great deal of scrutiny. It has been assumed, perhaps incorrectly, that most of the agency's activities are benign or involve passive management of the refuge system, although clearly there is a wide variety of actions ranging from physical habitat improvement, to road, research station, and visitor center construction, to public access of various kinds. Pressures for new energy development and similar resource uses may be expected within some refuges. The public does not have a broad understanding and appreciation of FWS or its historic resource activities, but the agency's newly defined mission and upcoming anniversary might both offer opportunities to enhance awareness and a more proactive stewardship of its historic resource holdings.

National Oceanic and Atmospheric Administration

The National Oceanic and Atmospheric Administration (NOAA) of the Department of Commerce, which includes the National Weather Service, manages 10 Marine Sanctuaries and several estuarine sanctuaries amounting to about 6.7 million acres of submerged lands and wetlands. Many marine sanctuaries and coastal areas contain historic shipwrecks and other kinds of archeological sites, and the wreck of the Civil War ironclad USS *Monitor* in the *Monitor* National Marine Sanctuary off the coast of North Carolina is a National Historic Landmark.

NOAA has or is in the process of developing management plans for its 12 current National Marine Sanctuaries, and these plans include sections on dealing with historic resources. NOAA also manages a number of National Estuarine Research Reserves in conjunction with various State Governments. As with other parks and refuges, there are increasing pressures from the general public as well as academic institutions for access and a variety of research and other uses in these sanctuaries.

Common Concerns

Two major issues face the National Park Service and related agencies as they attempt to meet their historic resource stewardship responsibilities. First, balancing protection of natural resources and values with care of historic and cultural resources is not a straightforward task. Funding priorities and competition for scarce money and hiring of technical experts are clearly factors. A second and related concern is agencies' ability to provide sufficient visitor access and services for ensuring public use and enjoyment without impairing the values for the park, refuge, or sanctuary. In the large natural parks and the refuges and sanctuaries, historic resources often play a decidedly secondary role in management as well as funding decisions, even though they may figure prominently in visitor use and services, provide employee housing and administrative facilities, and offer creative opportunities for public interpretation.

The social, economic, and political pressures for competing needs, uses, and priorities are many. Local communities rely on parks and similar areas for the

related employment opportunities they bring as well as the other economic development they attract. At the same time, local residents and user groups often chafe at the loss of tax revenues due to public ownership of park lands, raise concerns about access limits, or balk at other restrictions. More cooperative efforts with community-based organizations, "friends" groups, and State, tribal, and local governments need to be explored to help deal with these and similar issues.

PUBLIC WORKS AND INFRASTRUCTURE

Many of the major public works and a great deal of the infrastructure for interstate commerce and transportation, energy production, and flood control were originally constructed as Federal projects. During the New Deal period of the 1930s and 1940s, Federal agencies like the U.S. Army Corps of Engineers, the Bureau of Reclamation, the Tennessee Valley Authority, and the regional power administrations (Bonneville, Western Area, Southwestern, and Southeastern) became associated with the development of major navigation systems, water control, and power generation, and spearheaded such public projects along with New Deal agencies like the Works Progress Administration and the Civilian Conservation Corps.

Following World War II, highway construction and expanding air service found Federal support through the Bureau of Public Roads and the Civil Aviation Agency, which eventually became the Federal Highway Administration and the Federal Aviation Administration in the newly formed Department of Transportation during the 1960s.

Many of these programs now receive Federal assistance as State and local projects, but a number of major public works remain in Federal hands. The Department of Transportation retains management responsibility for historic resources such as Union Station in Washington, DC, as well as Federal Aviation Administration air traffic control and other facilities at many of the Nation's airports.

U.S. Army Corps of Engineers

The U.S. Army Corps of Engineers manages 459 lakes and other resources with a combined total of 11.7 million acres of land and water under its jurisdiction, and Corps projects provide more than 30 percent of recreational opportunities on Federal lands. With 41 districts in eight divisions, and several research, development, and training centers, the Corps is one of the most experienced Federal agencies in dealing with historic resources. It also has one of the larger agency staffs, with cultural resource specialists in most district offices. The Corps runs an Environmental Laboratory, an Engineering and Support Center, and a Construction Engineering Research Laboratory, and several Corps districts have established centers of expertise (in Seattle and St. Louis, for example) for historic resource stewardship work.

Unfortunately, the Corps is also currently under a great deal of internal and external scrutiny because of recent activities and responsiveness to executive and congressional directives and oversight. Media reports, too, have been extremely critical of Corps actions and command decisions. While the Council did not focus a great deal of time and attention on these agencies and their holdings during the course of this study, it is clear that some scrutiny is necessary.

Tennessee Valley Authority and Bureau of Reclamation

Other agencies need financial attention. The Tennessee Valley Authority, for example, ceased to receive a Federal appropriation in FY 2000 for its activities. While still operating as a Government corporation, and still responsible for several hundred thousand acres of land and miles of reservoir and riverine shoreline, it must manage these resources only with funds from electric power ratepayers in the Tennessee Valley system. Formed as a New Deal entity in 1933 to develop the Tennessee Valley area, it retains important archeological holdings, sites of traditional cultural value to the Cherokee and other Eastern Indian tribes, and resources from the settlement history of the nation's fifth largest river system. In addition, many of Tennessee Valley Authority's dams, power plants, and other facilities are themselves historic resources worthy

Appendix 1 Continued

- Pursue refinement of privatization initiatives, particularly those dealing with military housing, that address historic preservation concerns.
- Continue work on streamlining Army policies and procedures and integrating historic preservation activities with installation land use and management planning needs.
- Build on and support advisory groups similar to the Ukanipo Heiau Advisory Group in Hawaii and the Friends of Fort Sam Houston in Texas as examples of workable and exemplary community partnerships.
- Continue to support means for raising Army personnel awareness of historic resource stewardship as a key part of the Army mission, including sustaining an annual Army historic preservation awards program to recognize installation management excellence, innovation, and partnership.

Department of the Interior, Bureau of Land Management

- BLM should adopt and follow the recommendations contained in its staff paper, "Strategic Paper on Cultural Resources at Risk" (June 2000), including those recommending awards recognition; upper management support; evaluating and establishing appropriate budget allocation strategies; priorities for "at risk" resources; assembling more complete program statistics; developing a cultural training module; and balancing proactive work with Section 106 reviews.
- BLM should seek additional funding for cultural resource programs to support adequate professional staff and enable it to plan and carry out specific protection and development strategies for significant threatened resources.
- Funding for cultural resources activities should be specifically provided for in the budget process in such a way that multi-year preservation activities, as well as interdisciplinary resource management planning, can more fairly compete for appropriations.
- Given the extent of its holdings and overlapping interests, BLM should place a high priority on joint projects with the Forest Service and other Federal agencies within the Department of Interior, as well as with the Department of Defense, to take advantage of economies of scale, cost-share area interpretive and educational programs, and cooperate in collecting and sharing data on historic resources.
- BLM should undertake greater efforts to support public-private partnerships in protection efforts through challenge grants and other seed money, including creative use of Recreation Fee Demonstration money. It should also take maximum advantage of the important contributions now being made by private volunteers in site protection programs (such as Arizona's highly successful Site Stewards program) and in inventory, stabilization, and interpretation programs (such as the national Passport in Time program).
- A high priority should be placed on proactive steps to inventory and evaluate BLM resources, consistent with recent findings of the Office of Inspector General of the Department of the Interior, and consistent with some successful prototype efforts in National Forests in the Sierra Nevada area of California. Such efforts should benefit from a grand design (if possible, at a multi-State or regional level) and/or integrated planning approach, rather than the current, predominantly piecemeal, project-driven survey efforts. Such inventory and evaluation work should be developed and priorities set in consultation with State Historic Preservation Officers and Indian tribes, and should place primary emphasis on gaining a better understanding of the quality, significance, and condition of historic resources rather than simply on locational and quantitative analysis.
- Law enforcement efforts to protect sites from vandalism should be increased and targeted to especially critical areas, again with assistance from a broad range of private and public partners.
- A means for building upon and learning from the most successful public interpretation programs and sharing model approaches with the Forest Service and the National Park Service should be pursued, particularly for interpreting the historic resources within special management areas such as national monuments.

Appendix 1 Continued

Department of Agriculture, U.S. Forest Service

- The Forest Service should adopt and follow the recommendations contained in its staff paper, "Heritage—It's About Time! A National Strategy" (September 1999), as well as adopt the following implementation strategies:
 - gain the commitment of the Recreation, Heritage, and Wilderness Resource leadership to make the heritage vision a shared vision;
 - develop a communications plan to heighten the awareness of Forest Service leadership, the Department of Agriculture, and Congress regarding the untapped opportunities and public benefits of the heritage program;
 - assess the national heritage program funding level in terms of the Forest Service's ability to implement the strategy and the benefits to be derived, and making adjustments;
 - implement a plan to provide the heritage workforce the training, tools, and resources needed to make the strategy a reality; and
 - begin to forge alliances with other agencies, local communities, tribes, private sector partners, the professional community, and others whose cooperation and support are needed to achieve the vision.
- The Department of Agriculture and the Forest Service should seek additional funding for cultural resource programs to support adequate professional staff and enable it to plan and carry out specific protection and development strategies for significant threatened resources.
- Funding for cultural resources activities should be specifically provided for in the budget process in such a way that multi-year preservation activities, as well as interdisciplinary resource management planning, can more fairly compete for appropriations.
- Given the extent of its holdings and overlapping interests, the Forest Service should place a high priority on joint projects with the Bureau of Land Management and other Federal agencies within the Department of the Interior, as well as with the Department of Defense, to take advantage of economies of scale, to cost-share area interpretive and educational programs, and to cooperate in collecting and sharing data on historic resources.
- The Forest Service should undertake greater efforts to support public-private partnerships in protection efforts through challenge grants and other seed money, including creative use of Recreation Fee Demonstration money. It should also take maximum advantage of the important contributions now being made by private volunteers in site protection programs (such as Arizona's highly successful Site Stewards program) and in inventory, stabilization, and interpretation programs (such as the national Passport in Time program).
- A high priority should be placed on proactive steps to inventory and evaluate Forest Service resources, consistent with some successful prototype efforts in National Forests in the Sierra Nevada area of California. Such efforts should benefit from a grand design (if possible, at a multi-State or regional level) and/or integrated planning approach, rather than the current predominant piecemeal, project driven survey efforts. Such inventory and evaluation work should be developed and priorities set in consultation with State Historic Preservation Officers and Indian tribes, and should place primary emphasis on gaining a better understanding of the quality, significance, and condition of historic and cultural resources rather than simply on locational and quantitative analysis.
- Law enforcement efforts to protect sites from vandalism should be increased and targeted to especially critical areas, again with assistance from a broad range of private and public partners.
- A means for expanding, building upon, and learning from the most successful public interpretation programs and sharing model approaches with the BLM and the National Park Service should be pursued, particularly for interpreting the historic resources within special management areas such as national monuments.

Appendix 2**POLICY, BUDGET, AND STRATEGIC PLANNING INITIATIVES RELATED TO HISTORIC RESOURCES STEWARDSHIP BEGUN BY AGENCIES DURING THE COURSE OF THIS STUDY****Department of Agriculture, U.S. Forest Service**

Recreation Summit (October 1999)

"Heritage—It's About Time! A National Strategy" (September 1999)

Department of Defense, Department of the Army

Army Residential Communities Initiative (no date)

Managing the Army's Historic Properties: A Blueprint for Preservation and Reuse (no date)

Department of Energy

Corporate Board on Historic Preservation (formed October 1998; first report January 2000)

Department of the Interior, Bureau of Land Management

"Strategic Paper on Cultural Resources at Risk" (June 2000)

Department of the Interior, National Park Service

Federal Preservation Institute initiative (September 2000)

"Cultural Resources Challenge: The National Park Service's Action Plan for Preserving Cultural Resources"
(draft; September 2000)

General Services Administration

Held in Public Trust: PBS Strategy for Using Public Buildings (May 1999)

**Recent Noteworthy Section 106 Cases
Involving the Council**

STATE	AGENCY	CASE	NOTEWORTHY
Alaska	Corps of Engineers	Dutch Harbor environmental cleanup	NHL; hazardous waste removal could lead to de-listing
Arizona	Bureau of Reclamation	Operation of Glen Canyon Dam	Effects on Grand Canyon National Park, archaeology (over 300 sites), and tribal issues
Arizona	Forest Service	Mt. Graham Land Management Plan	Sacred site for Apache tribes
Arizona	Natural Resources Conservation Service	Statewide conservation activities	Programmatic approach
Arkansas	National Park Service	Little Rock Central High School General Management Plan	New National Park unit; balance management with ongoing public high school function
California	Bureau of Land Management	Glamis Imperial Corporation Gold Mine	Mine to be located in most sacred area of the Quechan Tribe
California	Bureau of Land Management	Williams Communication Fiber Optic Line	Archaeological and other sites on Fort Yuma Reservation
California	Federal Emergency Management Agency	Seismic repair of Jewish Community Museum	Design issues and dispute resolution
California	Federal Highway Administration	Oakland Bay Bridge replacement	Treasure Island NHL, Navy and Coast Guard are involved

STATE	AGENCY	CASE	NOTEWORTHY
California	Forest Service	Williams House removal	Historic Cabin in Forest City Historic District
California	General Services Administration	U.S. Courthouse Construction	Demolition of historic Hotel San Diego; citizen involvement
California	General Services Administration	Vista del Arroyo Bungalows property transfer	Enforcement of covenants; citizen involvement
California	General Services Administration	Disposal of Old U.S. Mint, San Francisco	NHL; proposed transfer to City without reuse plans or covenants
California	Presidio Trust	Presidio of San Francisco management program	NHL; new Programmatic Agreement
California	Presidio Trust	New construction, Letterman Hospital complex at Presidio	NHL; new Programmatic Agreement
Colorado	Bureau of Land Management	Rock School Mine	Programmatic Agreement
District of Columbia	Community Development Block Grant	Columbia Heights redevelopment	Reuse or demolition of historic Tivoli Theater
District of Columbia	General Services Administration	Lease of General Post Office Building	NHL; reuse by non-Federal party
District of Columbia	National Capital Planning Commission	Sale or transfer of portion of U.S. Soldiers' and Airmen's Home	NHL; portion of proceeds could support historic rehabilitation work

STATE	AGENCY	CASE	NOTEWORTHY
District of Columbia	National Park Service	Construction of Martin Luther King, Jr. Memorial	NHL; coordination between review under Section 106 and Commemorative Works Act
District of Columbia	National Park Service	Construction of WWII Memorial	NHL; coordination between review under Section 106 and Commemorative Works Act
Florida	Corps of Engineers	Permit for housing development on Okeechobee Battlefield	NHL; sacred to Seminole and Miccosukee Tribes
Florida	Federal Highway Administration	Reconstruction of the Bridge of Lions	NHL; key point in St. Augustine HD
Georgia	Department of the Army	Fort Benning land exchange with City of Columbus	Consultation with several Indian tribes
Georgia	National Park Service	Neglect of Plum Orchard Mansion, Cumberland Island National Seashore	Conflict of wilderness management and cultural values
Georgia	National Park Service	Cumberland Island National Seashore cultural resource management plan	Conflict of wilderness management and cultural values
Hawaii	Department of the Army	Military training sites	Programmatic Agreement; effects on Hawaiian cultural sites
Hawaii	National Aeronautics and Space Administration	New construction of Keck Outrigger telescopes	Mauna Kea, mountain sacred to Native Hawaiians

STATE	AGENCY	CASE	NOTEWORTHY
Hawaii	Department of the Navy	Pearl Harbor Naval Base operation and management	NHL; Programmatic Agreement
Hawaii	Department of the Navy	Ford Island redevelopment, Pearl Harbor	NHL; scene of 1941 attack
Illinois	U.S. Postal Service	Fort Sheridan mail delivery Services	NHL; citizen involvement
Indiana	Federal Highway Administration	Wilson Bridge replacement	Rural landscape
Kansas	General Services Administration/ Department of the Army	Sunflower Army Ammunition Plant disposal	Redevelopment as "World of Oz" entertainment complex
Kansas	Department of Veterans Affairs	Demolition of Buildings at Leavenworth VA Medical Center	NHL; citizen involvement
Kentucky	Corps of Engineers	McAlpine Locks replacement	Compensated protection of Marine Hospital (NHL); citizen involvement
Kentucky	Department of Education	Underground Railroad Freedom Center Museum development	Interstate relocation of historic slave-holding pen
Kentucky	Federal Highway Administration	Two new major bridge crossings of Ohio River	Numerous Louisville historic properties; citizen involvement
Louisiana	Corps of Engineers	Industrial Canal widening and lock replacement	Holy Cross and Bywater historic districts; environmental justice issues

STATE	AGENCY	CASE	NOTEWORTHY
Maryland	Department of the Army	Disposal of Walter Reed Annex	National Park Seminary HD; citizen involvement
Maryland	National Capital Planning Commission	National Harbor development on Potomac River	Archaeological sites; citizen involvement
Massachusetts	Federal Aviation Administration	Expansion of Nantucket Memorial Airport	NHL resources with substantial citizen involvement
Massachusetts	Federal Aviation Administration	Hanscom Field service expansion	Minuteman National Historical Park and Walden Pond; citizen involvement
Michigan	Federal Highway Administration	US 31 Improvements	Bay View and other historic properties
Michigan	Department of Veterans Affairs	Allen Park VA Medical Center transfer/demolition	Statutory requirement conflicts with NHPA
Minnesota	Federal Highway Administration/ National Park Service	New St. Croix River crossing	Stillwater Lift Bridge removal on Wild and Scenic River; natural vs. cultural values
Minnesota	Federal Highway Administration	St. Paul transit hub and parking	Historic house demolition; citizen involvement
Mississippi	General Services Administration	Construction of U.S. Courthouse, Gulfport	Historic school demolition or reuse
Missouri	Community Development Block Grant	Kansas City riverfront development	Possible impact to starting point of Oregon, California, and Santa Fe Trails
Montana	Bureau of Land Management	Public lands transfer to Montana	Programmatic Agreement

STATE	AGENCY	CASE	NOTEWORTHY
Montana	Bureau of Land Management	Exploratory oil drilling in Weatherman Draw/Valley of the Shields	Rock art and cultural sites; tribal opposition
Nevada	Forest Service	Amend Cave Rock Land and Resource Management Plan	Area sacred to Washoe Tribe; rock climbing conflict
New Jersey	National Park Service	Townhouse construction in Great Falls S.U.M. Historic District	NHL; incompatible new construction
New Mexico	Department of Energy	Los Alamos Laboratory operation and management	Programmatic Agreement
New York	Corps of Engineers	Construction of Athens Generating Plant	NHL; visual and other effects along scenic portion of Hudson River
New York	General Services Administration/Coast Guard	Closure and disposal of Governors Island	NHL; Programmatic Agreement
New York	General Services Administration	Construction of Foley Square courthouse and Federal building in Manhattan	NHL; African Burial Ground memorial and public interpretation (post-agreement)
North Dakota	Department of the Air Force	Demolition of Minuteman II missile silos	Programmatic Agreement for transfer to state
North Dakota	Corps of Engineers	Pipestem Reservoir and Jamestown Reservoir operation	Programmatic Agreement
North Dakota	Federal Communications Commission	Western Wireless tower construction	Request for after-the-fact consultation

STATE	AGENCY	CASE	NOTEWORTHY
Ohio	Federal Aviation Administration	Residential sound insulation program for Olmsted Falls	Historic district; citizen involvement
Pennsylvania	Office of Surface Mining	State permit for expansion of mining impacting Thomas Kent, Jr. farm	Property owner objections and state delegation issue
Puerto Rico	Federal Emergency Management Agency	Repairs to Cuartel de Ballaja, San Juan	NHL; design issues and SHPO ownership
Puerto Rico	Department of the Navy	Transfer of portions of island of Vieques (Navy bombing range) to Puerto Rico	Numerous archaeological sites; citizen involvement
Rhode Island	Federal Highway Administration	Interstate 95 access ramp in downtown Providence	Archaeological district; potential human remains
South Dakota	Corps of Engineers	Transfer of Corps lands along Missouri River to state	Cultural sites, reservation lands; tribal concerns
South Dakota	Corps of Engineers	Operation and management of Francis Case Reservoir	White Swan cemetery site; tribal concerns
Tennessee	Corps of Engineers	Construction of stadium for Tennessee Oilers	Citizen involvement
Tennessee	Federal Highway Administration	U.S. 321 Improvements	Archaeological site with potential Cherokee human remains; Tribal concerns

STATE	AGENCY	CASE	NOTEWORTHY
Tennessee	National Park Service	Removal of historic buildings, Elkmont HD, Great Smoky Mountains National Park	Conflict of natural resource management and cultural values
Texas	Corps of Engineers	Operation and maintenance of Lake O' the Pines	Widespread looting and vandalism of Caddo Tribe cultural and burial sites
Utah	Bureau of Land Management	Statewide fire rehabilitation program	Programmatic Agreement; annual review
Utah	Environmental Protection Agency	Remedial action with demolition of smokestacks, Murray Smelter Superfund site	Legal consent decree; citizen involvement
Utah	Nuclear Regulatory Commission (also BLM, Surface Transportation Board, and BIA).	Temporary nuclear waste storage facility and rail line on Indian reservation	Opposed by Governor, who has taken over SHPO review
Virginia	Corps of Engineers	King William Reservoir construction	Inundation of tribal lands; cultural sites, environmental justice issues
Virginia	Federal Aviation Administration	Washington Reagan National Airport main terminal rehabilitation	Design issues
Virginia	General Services Administration	Disposal of Lorton correctional complex	Historic district and unidentified archaeological sites

STATE	AGENCY	CASE	NOTEWORTHY
Virginia	National Park Service	Land transfer to Arlington National Cemetery	Robert E. Lee Memorial National Historic Site
Virginia	National Park Service	Construction of Air Force Memorial, George Washington Memorial Parkway	Coordination of Section 106 and Commemorative Works Act; Marine Corps objections
Virginia	Department of the Navy	Demolition of historic hangars, Norfolk Naval Air Station	Possible constraints of military construction funding
Washington	Corps of Engineers	Transfer of Kennewick Man site and other lands to local governments	Covenants; Umatilla Tribe concerns
Washington	Forest Service	Land exchange, Huckleberry Divide Trail	Litigation; easements on historic trail corridor consistent with court order
Wyoming	Surface Transportation Board	Powder River Basin expansion project	Railroad construction and grade reconstruction

**NATIONAL CAPITAL
PLANNING COMMISSION**

STATEMENT FOR THE RECORD
RICHARD L. FRIEDMAN, CHAIRMAN
NATIONAL CAPITAL PLANNING COMMISSION

HOUSE APPROPRIATIONS SUBCOMMITTEE ON
INTERIOR AND RELATED AGENCIES

Mr. Chairman and Members of the Subcommittee, as the new Chairman of the National Capital Planning Commission, I am honored to submit this statement for the record. Since I joined the Commission in December, I am finding its work challenging, rewarding, and totally engrossing. As someone who comes to the federal planning establishment from far outside the Beltway, I would like to share with you my thoughts on the role of the Commission and the direction that I would like to see us take over the next several years.

Under the provisions of our enabling legislation, the National Capital Planning Commission has a broad mandate to plan for the federal government in the Nation's Capital and to preserve the unique historic and natural resources that have made Washington one of the most admired capital cities in the world. I believe that we need to be certain that the Commission is fulfilling that mandate; that it is exercising its authority to the fullest extent; and that it is applying the complete range of its professional planning and design capabilities to influence development in the Nation's Capital. We view with great seriousness our stewardship of Washington's magnificent planning legacy and the great urban design traditions of the L'Enfant and McMillan Plans. I believe that we can and should do more to ensure that the architectural and urban design standards on display in our capital city are worthy of a great nation. I look forward to being an activist chairman, leading an activist commission.

SECURITY MEASURES AND URBAN DESIGN

In that spirit, the Commission has recently established an interagency task force to evaluate the impact of federal security measures around the White House, including Pennsylvania Avenue between 15th and 17th Streets, and around national memorials and federal buildings in the city's Monumental Core. The Commission initiated this effort in response to a request from this subcommittee and its counterpart in the Senate asking NCPC to provide professional planning advice on the closure of Pennsylvania Avenue in front of the White House. My fellow Commissioners and I were pleased to undertake this effort because we have become increasingly concerned about the proliferation of ill conceived and hastily erected jersey barriers, bollards, guard huts, and concrete planters that now mar the beauty of our city. We believe that we must find creative ways to ensure that our public places respect the city's historic streetscapes and are at the same time accessible and safe for those who live, work, and visit in the Nation's Capital. Good security and good urban planning are not incompatible.

Serving on the task force, which I chair, are Interior Secretary Gale Norton, General Services Acting Administrator Thurman Davis, Mayor Anthony Williams, and City Council Chairwoman Linda Cropp. Because all stakeholders concerned with security, urban design, economic development and traffic management need to be at the table as we examine these issues in a comprehensive way, we are inviting heads of other federal agencies to join the task force at

critical stages of its work. They may include the Attorney General; the Secretaries of State, Treasury, Defense, and Transportation; as well as the Directors of the Secret Service; the Federal Bureau of Investigation; and the Bureau of Alcohol, Tobacco and Firearms, and the Architect of the Capitol. Additional participants may include the Chairman of the Commission of Fine Arts, and the Executive Director of the Advisory Council on Historic Preservation. We have been working closely with Secret Service officials and are particularly gratified that they have agreed to participate.

While the efforts of the task force will first focus on Pennsylvania Avenue, our interests will extend beyond the Avenue to open space, public buildings, memorials and monuments throughout the city's Monumental Core. We expect the task force to consider all aspects of security measures that affect our public domain. This includes not only street closings, but also the availability of curbside parking; the installation of security bollards, walls, and other barriers; security cameras; and the "hardening" of public buildings and monuments. We also expect to develop security design standards that will serve as a benchmark throughout the federal city and provide coordinated and well-designed solutions to the city's very real security needs.

The task force has committed itself to an aggressive work schedule and expects to make its preliminary recommendations to President Bush and the Congress by July.

IMPLEMENTING THE VISION

NCPC and its planning partners are now implementing several of the proposals called for in the Commission's long-range vision plan, *Extending the Legacy: Planning America's Capital for the 21st Century*. Released in 1997, *Legacy* imagines Washington as it can be in the future. The plan preserves Washington's civic and ceremonial grandeur, while helping to renew its neighborhoods, waterfronts, and commercial districts. The placement of memorials, museums, and other public buildings beyond the traditional Monumental Core—thus protecting the city's historic open space and sweeping vistas—is a key premise of the *Legacy* Plan. While some *Legacy* proposals may take decades to implement, we are delighted that work on several key parts of the plan is advancing faster than we originally envisioned.

A New Geography for Commemoration

In December 2000 the Commission released its draft Memorials and Museums Master Plan that will change the way future memorials and museums are developed and located in the Nation's Capital. Undertaken at the direction of this subcommittee, the plan is the result of a two-year collaborative effort to preserve the historic open space of Washington's Monumental Core while identifying sites for new cultural and commemorative facilities. Working as the Joint Task Force on Memorials, the National Capital Planning Commission, the Commission of Fine Arts, and the National Capital Memorial Commission are working to address the concern that the continuing demand for new museums and memorials will overwhelm the historic open space on and around the National Mall.

The draft master plan identifies 102 sites for new memorials and museums and provides general guidelines for where and how these facilities should be developed. A central feature is an urban design framework that is used to identify future sites. The framework is based on historic planning influences, urban design principles, and current planning and development initiatives.

The plan also includes the policies that will guide federal agencies in their review of future commemorative works and museums. The plan seeks to reach public consensus on locations in the National Capital that are appropriate for these important public spaces and to ensure that future generations of Americans have a sufficient supply of preeminent museum and memorial sites for their own needs.

The Joint Task Force has consulted with a team of nationally recognized planning and design professionals and with the District of Columbia government and local community and professional groups in the preparation of the plan.

The draft master plan has enjoyed broad public acceptance. The Architecture Critic of the Washington Post has called the plan "a brilliant piece of work, a much needed lift to the year's end, and a much anticipated guide to the years ahead." The Washington Chapter of the American Institute of Architects has applauded the plan, and the Virginia Chapter of the American Planning Association has recognized it with its highest award—the Professional Planning Project Distinguished Award for 2001.

A key feature of the master plan is a Commemorative Zone Policy that establishes a *Reserve* in the central cross-axis of the Mall in which no new memorial or museum sites will be approved. In January 2000 the three review agencies—NCPC, the Commission of Fine Arts, and the National Capital Memorial Commission—formally adopted this policy and its provisions were included in legislation amending the Commemorative Works Act. That legislation was approved by the Senate but not by the House. We look forward to working with Congress in the coming months to make necessary amendments to the existing legislation. The Commission strongly believes that the master plan and an appropriately amended Commemorative Works Act should guide the review and development of all future memorials. Proposals that contravene the Commemorative Works Act and master plan, such as the current one to erect a memorial to former President Regan, should be discouraged.

The Joint Task Force is currently reviewing the public comments it has received, revising the draft plan appropriately, and expects to release the final plan this summer.

Reclaiming the Waterfront

Washington was once a vital river city but in its more recent history the city has turned its back on its waterfront. The Legacy Plan calls for reconnecting Washington to its rivers and making them once again accessible and enjoyable to visitors and residents. To advance that vision, and as former Chairman Harvey Gantt previously reported to you, the Commission has completed Phase I of a waterfront study that recommends development and remediation policies and identifies implementation measures for selected waterfront areas. The Commission has forwarded the study to the District's Office of Planning, which is using the document as part of its current Anacostia Waterfront Initiative. The Initiative is a public-private partnership formed by the District of Columbia and 15 federal agencies and organizations to plan an attractive mix of recreational, residential, and commercial uses for this neglected part of the city. The planning area extends along both sides of the river from the Southwest waterfront north to the District/Maryland line and includes South Capitol Street, the Southeast Federal Center, and the Navy Yard. NCPC planners have been working closely with Waterfront Initiative partners to

ensure that key aspects of the Legacy vision are incorporated into the final waterfront plan, which the District's Office of Planning expects to release in March 2002. With this plan, Washington will enjoy a waterfront that rivals those found in other great cities of the world.

PLANNING FOR TODAY AND THE FUTURE

Comprehensive Planning

While Legacy is a very long-range vision, the Comprehensive Plan for the National Capital looks 10 to 20 years into the future and serves as a more practical planning tool. The Comprehensive Plan establishes goals and policies for future development in the Nation's Capital and helps coordinate planning among federal and local jurisdictions. The plan is composed of two parts: the Federal Elements, which are prepared by NCPC and guide development of the federal establishment in the District and surrounding region; and the District Elements, which are prepared by the District of Columbia government and direct city planning. The Federal Elements cover such diverse issues as parks and open space protection, historic preservation, and federal employment distribution throughout the region.

The Commission and its staff are now preparing major revisions to the federal portion of the Comprehensive Plan. The first section of the plan to be revised concerns parks and open space in the National Capital Region. The revisions to this element incorporate several important planning initiatives undertaken since the element was first published in the 1980s. For example, the provisions of the Commemorative Works Act are included as is the recently adopted Commemorative Zone Policy restricting memorial construction in the heart of the National Mall and new building height restrictions along Washington's waterfronts.

Revisions to the section of the Comprehensive Plan dealing with environmental matters are now circulating to the general public for comment and the Commission expects to release the final Federal Environment Element this summer. In the future, the Commission expects to issue Comprehensive Plan updates on a five-year cycle to make it more useful to local and federal decision makers.

Project Review

The Commission reviews the location and design of all federal buildings in Washington and the surrounding region to ensure that they meet the needs of the federal government and adhere to the highest architectural and urban design standards. The following illustrative projects were among the approximately 140 projects that the Commission and staff reviewed during the past year.

On two occasions during the past year the Commission has reviewed plans for the *World War II Memorial*, a project that has generated wide public comment. At a special Commission meeting in September where more than 100 individuals registered to speak either in support or opposition, the Commission approved the final design plans for the project. However, its approval did not extend to several important elements of the proposal including a sculptural element in the Rainbow Pool, nor the lighting scheme. In December the Commission reviewed and approved plans for the project's ancillary elements—an access road, ranger and comfort stations, and a small, landscaped contemplative area in the northwest corner of the site.

Construction on the project is set to begin following resolution of a pending lawsuit filed by opponents of the memorial.

With work on replacing the *Woodrow Wilson Bridge* finally underway, the Commission has reviewed the project at each critical stage of its construction. During the past year, the Commission approved foundation and preliminary building plans, as well as plans for the overpass at Washington Street and improvements to Jones Point Park in Alexandria and Rosalie Island on the Maryland side of the river. Since the Commission approved design concepts for the bridge in 1999, the design has progressed significantly to balance the bridge's monumental aspirations with more practical transportation concerns. The Commission particularly applauded the design of the bridge's control tower, a contemporary structure with a sleek lines and a glass and metal skin. Demolition of the existing bridge and completion of the new bridge is expected as early as 2006.

The rehabilitation of five wonderful *historic buildings in the 800 block of F Street, NW* directly across the street from the National Portrait Gallery will be a valuable contribution to the ongoing transformation of Washington's Old Downtown. Now being privately developed, this property falls within the jurisdiction of the Pennsylvania Avenue Development Plan, of which NCPC is now the guardian. The long-derelict buildings date from the post-Civic War era and are excellent examples of the period's architecture. This mixed-use project will include shops, offices, and housing.

Last May, the Commission approved the *Comprehensive Design Plan for the White House and President's Park* that is designed to meet the needs of the mansion and its grounds for the next 20 years. The National Park Service developed this master plan in response to the increasingly severe space limitations the White House staff currently confronts. While approving the overall plan, the Commission did, however, reject the master plan's proposal for the long-term configuration of E Street on the south side of the White House. Although two-way traffic has been recently restored to this portion of E Street, the master plan recommended that E Street revert to a one-way eastbound configuration. In disapproving that recommendation, the Commission requested that federal and District official work together on a long-term solution for downtown traffic problems.

PLANNING WITH PARTNERS

In January of this year NCPC and the Metropolitan Washington Council of Governments jointly sponsored a very well received conference, "Federal Planning Urban Revitalization, and Smart Growth in the National Capital Region." Smart Growth is a planning concept that is gathering strength throughout the country and in the Washington metropolitan region. The Smart Growth approach to development can curb suburban sprawl, reinvigorate the central city, and strengthen the regional planning. The conference brought together elected officials and senior federal, state and local planners in examining how "smart" federal planning decisions can promote coordinated development in the Washington area. The one-day conference, attended by several hundred participants, examined transportation impacts, open space protection, waterfront revitalization, and the location of federal offices and other facilities.

In a continuing effort to better plan and manage transportation in the region, NCPC has been working with its local and regional partners to find ways to reduce the federal contribution to traffic congestion and pollution in the region. Last spring President Clinton signed an Executive Order requiring federal agencies to provide their employees in the Washington area with transit benefits. The new program encourages federal workers to abandon their drive-alone habits and look instead to trains, Metro, buses, and vanpools for their daily commute. NCPC and its partners sponsored a series of workshops to help federal agencies implement the new transit benefit program and to develop transportation management programs for all of their employees. More than 500 agency representatives attended these workshops and Metro authorities have estimated that since the mandatory transit benefit program was implemented in October, as many as 10,000 federal employees are new riders on Metro—10,000 commuters out of their cars and off the roads.

Washington Geographic Information System Consortium

I am proud to report that, after more than five years, NCPC along with its federal, local, and private partners has successfully completed the initial work to implement a comprehensive geographic information system for Washington, DC through the Washington Geographic Information Systems (WGIS) Consortium. As you know, the Consortium is dedicated to improving services and productivity through a multi-party, highly integrated geographic information system that meets the needs of the federal and District governments. In our coordination role, we have successfully led the effort to develop and share compatible geospatial data for better land use planning, zoning, permit and licensing, and property and infrastructure management for the nation's capital. This year marks the beginning of our transition to a non-profit organization that will continue the Consortium's work and maintain, manage and distribute the data collected over the last nine years.

Management Issues

Recent months have been an exciting and demanding period of transition for NCPC. The Commission has not only a new Chairman, but also a new Executive Director. Following an extensive national recruitment effort, Patti Gallagher from the City of Chicago's Department of Planning was selected. Ms. Gallagher's reputation in the professional planning and urban design community is unparalleled, and both Commissioners and staff look forward to her leadership.

And, finally, the Commission and staff have settled into our new offices in Market Square North, just across the street from its previous location. NCPC staff now enjoys contiguous office space, state-of-the-art technology, and expanded meeting areas to better accommodate the public and media. We are deeply grateful to the members of this subcommittee who ensured the necessary funding to help us successfully make this transition.

In summary, during the past year of change and transformation, NCPC has continued to fulfill its responsibilities, developing and implementing long-range planning objectives, overseeing federal development, creating and leading the federal, local and private partnership in collecting and sharing geospatial data and protecting the unique beauty and image of the Nation's Capital. We believe it has been a period of challenges met and successes achieved.

**HOUSE INTERIOR and RELATED AGENCIES APPROPRIATIONS
QUESTIONS FOR THE RECORD
FY2002 REQUEST**

NATIONAL CAPITAL PLANNING COMMISSION

FY 2002 request issues:

QUESTION

1. The approval process for the World War II memorial continues to be very controversial. What exactly is happening right now, and what meetings are being planned by the NCPC as it tries to complete this process? How much staff time is taken up by this seemingly endless process?

ANSWER

1. The National Capital Planning Commission (NCPC), working with the American Battle Monuments Commission (ABMC), the National Park Service (NPS), and the Commission of Fine Arts (CFA), has reviewed plans for the World War II Memorial at each stage of its development. The process began in **July 1995** with approval of the East End of Constitution Gardens as the memorial site. In **October 1995** NCPC rescinded its previous action and approved the Rainbow Pool site with the stipulation that the design not intrude on the vista as defined by the trees flanking the Reflecting Pool along the Mall's east-west axis.

In **July 1997** NCPC rejected the original design concept and requested that the sponsor submit a revised design concept that reduced the mass and scale of the memorial and better integrate it into the Mall setting. The Commission reaffirmed its previous approval of the Rainbow Pool site.

In **July 1998** the revised design concept was approved by the Commission after reviewing and commenting on the National Park Service's Draft Environmental Assessment. With the assurance by the National Park Service and the American Battle Monuments Commission that the project design would be sensitive to the historic Mall setting, NCPC approved the preliminary site and building plans in **June 1999**.

For over a year each of the approving bodies have consulted, individually and jointly, with the design team to make refinements to the World War II Memorial that would create a distinct and serene sense of place and that would remain sensitive to the openness and historic surroundings of the Mall.

On **September 21, 2000**, after extensive public participation, the Commission approved the final plans for the memorial with the exception of its ancillary elements¹.

¹ The Commission approved the ancillary elements on December 14, 2000.

On **October 2, 2000** the National Coalition to the Save Our Mall, World War II Veterans to Save the Mall, Committee of 100 on the Federal City and D.C. Preservation League filed a lawsuit against the National Capital Planning Commission and Harvey B. Gantt, in his official capacity as Chairman; the Secretary of the Interior; the American Battle Monuments Commission; and the Commission of Fine Arts. Secretary Bruce Babbitt, J. Carter Brown, and Mr. Robert Stanton are also named as defendants acting in their official capacity. The suit alleges violations of the National Environmental Policy Act, the National Historic Preservation Act, and the Commemorative Works Act. Litigation is not unusual for highly visible and controversial projects. NCPC is currently working with the U. S. Department of Justice and the other defendants to examine all of the legal issues presented in this case.

In **March 2001** the Justice Department filed a Motion to Stay Proceedings, while an issue relating to the votes cast by the National Capital Planning Commission to approve the memorial is examined. The issue, that arose while preparing the Commission's defense, involves a question of whether an action taken by the Commission is considered valid if there are votes cast by any member of the Commission serving on an expired term. During the final review and approval of this memorial, Harvey B. Gantt served as Chairman, on an expired term, until his successor was named.

Although the Commission believes that all actions taken during this period were proper, a special hearing has been scheduled for **June 13 and 14, 2001** to review its previous actions on the memorial and to complete the process. These actions include the preliminary and final design plans, as well as plans for an access road, an information pavilion, and a contemplative area and are focused on the memorial design. The site for the memorial at the Rainbow Pool on the National Mall was approved prior to the time period in question. During its regularly scheduled **May 3** meeting, the Commission will announce the procedures it will follow at the June hearing. Members of the public will be invited to express their views at this public hearing.

More than 3000 hours of staff time has been spent to: review site plans, complete a comprehensive review of this project at concept, preliminary and final design stages; discuss and coordinate proposed refinements with all of the sponsor and other approving agencies; comment on the NPS Draft Environmental Assessment; visit the selected site and physical models of the memorial; respond to individual inquiries from the public and from the media; and to attend and conduct more than a dozen public meetings.

QUESTION

2. We understand that an issue has arisen relating to the World War II Memorial and the fact that NCPC's former Chairman Harvey Gantt continued to serve beyond the end of his term and voted on final approval of the Memorial. The Commission's authorizing legislation, as originally enacted, contained a holdover provision. This provision was inadvertently omitted during the 1974 Home Rule Act Amendments, however Mr. Gantt and several former Commissioners have continued to serve as though the 'holdover' provision remains. How has this affected the Commission's official actions within and outside of the District of Columbia? What is the Commission planning to do to address this critical issue? Is the NCPC the subject of

a law suit due to this error, and if so, how much staff time and funding is taken up with preparing for this suit?

ANSWER

2. During the final approval of the World War II Memorial, former Chairman Harvey B. Gantt's term expired. In keeping with the long-standing practice of Commission members to serve until replaced, he continued his duties as Chairman until the appointment of his successor in December 2000. This issue was raised while preparing the defense position and must be resolved in order to ensure the integrity of all actions taken by the Commission. It serves as the basis for the Motion to Stay the Proceedings filed in March by the Justice Department and is currently being examined to determine its impact on this and more than 150 other actions taken during the period of January 1, 1999 to December 14, 2000. These actions include design concept and foundation plans for the Woodrow Wilson Bridge, American Red Cross, National Museum of the American Indian, Martin Luther King, Jr. Memorial site and the FDA White Oak Consolidation plans.

NCPC is pursuing a legislative remedy to reinstate the 'holdover' provision contained in the National Capital Planning Act of 1952. As originally enacted, the Planning Act provided that Commission members could continue to serve until their successors were appointed and qualified. However, when Congress passed the Home Rule Act amendments in 1973, this important provision was omitted. The proposed legislation would reinstate this provision and provide language to ensure that the Commission's past actions could not be challenged based solely upon the omission of such language. In the absence of such a remedy, the Commission will find itself in a position of having to individually ratify each of the actions taken while former Chairman Gantt, or any other appointed member served during an expired term.

The 'holdover' provision is not at issue in the current lawsuit, but arises in the context of a determination that the Commission's approval of the World War II Memorial is valid. The lawsuit alleges violations of the National Environmental Policy Act, the National Historic Preservation Act, and the Commemorative Works Act.

The General Counsel and Commission staff has spent approximately 487 hours at an approximate cost of \$ 22,158 responding to issues raised in the lawsuit and examining procedural issues relating to the Commission's approvals. This includes the preparation of the administrative record, reviewing of motions, and other legal research.

QUESTION

3. Given its statutory review authority over federal buildings and memorials in the Nation's Capital, NCPC is often called upon by Congress to provide its views on proposed legislation for new monuments and memorials under the Commemorative Works Act. Although executive agencies are normally required to submit testimony and comments on proposed legislation to OMB for clearance before providing such testimony and comments to Congress, independent agencies may be exempt from this provision. As an independent agency, is NCPC exempt as well?

ANSWER

3. Although NCPC is an independent agency, it has not been exempted from the requirement by the Office of Management and Budget (OMB) that all agencies in the executive branch submit any testimony and, or comments on proposed legislation to OMB for clearance before transmitting to Congress. For instance, the Commission's concerns regarding the Reagan Memorial Bill and its impact on the Commemorative Works Act was submitted to OMB for clearance before sending to Congress. Clearance by OMB was also required for the Chairman's recent testimony regarding the future of Pennsylvania Avenue in front of the White House before the Chairman could testify before Congress.

QUESTION

4. NCPC requested \$8.5M from OMB. It appears that the request included approximately \$1.2M in funding for the Washington Geographic Information System (WGIS) Consortium. Without funding, how does NCPC plan to continue its leadership role in the WGIS Consortium?

ANSWER

4. At the request of OMB, the Commission has held several meetings with the District of Columbia to transition the WGIS Consortium to the District government within the next fiscal year without success. While the District of Columbia has demonstrated an ability to develop its local geographic information system (GIS) and to provide services to a few of the agencies in the local government, it has not accepted the responsibility of collecting and managing data, or providing services that are shared by the federal, District and private partners in the region.

Without additional funding, NCPC is left in an unfortunate position of being unable to continue its leadership role in the WGIS Consortium. After more than seven years and a \$2.5M investment to build a WGIS Consortium that would share city and regional information and the cost of collecting, analyzing, and maintaining geospatial data, each of the partners will again face information systems compatibility issues as they return to developing and maintaining individual agency systems that will cost the governments more and do significantly less.

With more than twenty federal, District and private partners, an OMB-approved strategic plan developed by the partners, and data valued at in excess of \$3.0M, the Consortium will be left without leadership.

QUESTION

5. The Commission has recently moved to new offices. Please provide a detailed summary of your moving expenses in FY 2001 and those planned for FY 2002.

ANSWER

5. A detailed summary of the Commission's moving expenses in FY2001 follows:

General Services	\$ 269,000
Settles and Associates (Architect)	\$ 4,800
Maryland Office Movers	18,073
Professional Products A/V Services	298,614
Interasys Networks	1,600
Extra Touch of Class	10,843
Force3 (Firewall Services)	3,800
NuCraft	8,557
Indoor Furniture	9,867
Joffco Furniture Company	5,794
SpaceSaver Systems	20,787
Truland Electric Services	1,201
Weisco	734
Direct Path Corporation (Tackable Wall)	2,463
Personal Touch Carpet Care	5,000
Metro Shelving	546
Sit-On-It Office Seating	3,320
Rolling Greens, Inc.	7,331
Boston Properties	3,144
Berco Table Works	3,266
Columbia Woodworking	1,740
Washington Cable	210
US Business Interiors (relocation of existing office furniture)	<u>23,982</u>
Total	<u>\$ 704,672</u>

In FY2002 the Commission must repay the General Services Administration \$473,000 to cover the above base build-out costs incurred in FY2000-2001. In the OMB passback, this amount has been fenced for repayment to GSA only. In addition to repaying GSA, NCPC will need to purchase furniture at an estimated \$25,000 and install wiring for additional electrical and computer outlets in its perpetual training center at an estimated cost of \$5,000.

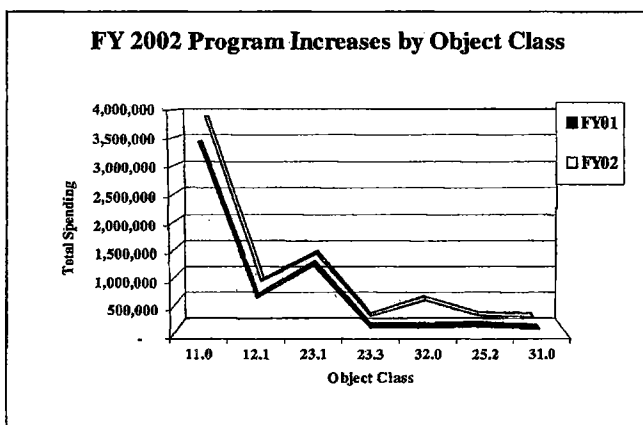
QUESTION

6. Please provide a list of each program increase that you have included in the FY 2002 budget justification and please prioritize the increases that you have requested.

ANSWER

6. For FY2002, the following are program increases in order of priority.

<u>Object Class</u>	<u>Increase</u>
11.0 Personnel Compensation	\$420,023
12.0 Personnel Benefits	140,626
23.1 Rental Payments to GSA	57,283
23.3 Communications, Utilities and Miscellaneous Charges	15,951
32.0 Space Alterations	322,840
25.2 Other Services	4,515
31.0 Equipment, ADP Software & Telecommunications	24,992

**QUESTION**

7. What are your fixed cost increases for FY 2002? How much is covered by the budget request?

ANSWER

7. Fixed cost increases for FY2002 total \$ 940,772. Of this amount, OMB has fenced \$473,000 for repayment of GSA relocation allowance. The remaining \$467,772 represents the total fixed cost increases for FY2002.

Our budget request to OMB shows an increase in base level fixed costs totaling \$1,113,620. This includes the \$473,000 to repay GSA. The remaining amount, \$640,620 is \$172,848 more than the amount shown in the budget justification and falls short of the funding needed in FY2002 to fully meet the increase in fixed costs.

QUESTION

8. What is the status of your new memorials policy?

ANSWER

8. In January 2000, each of the three primary federal agencies responsible for the review and approval of memorials in the Nation's Capital--NCPC, the Commission of Fine Arts, and the National Capital Memorial Commission--adopted a new memorials policy, which prohibits new memorials and museums in the heart of the National Mall. This area, identified as the *Reserve*, encompasses the central cross-axes of the Mall and stretches from the Capitol grounds to the Lincoln Memorial and from the White House and Lafayette Park to the Jefferson Memorial. The three commissions will approve no new memorial sites in this area. The policy also delineates an *Area I*, which is federally owned land immediately adjacent to the *Reserve* and includes Constitution Gardens, the Smithsonian museums on the Mall, West Potomac Park, the Federal Triangle, and portions of the Potomac waterfront. In the new policy, *Area I* is considered to be a sensitive area designated for commemorative works of preeminent historic and national significance. *Area II* encompasses the rest of the city with emphasis on the important North, South, and East Capitol Street axes, as well as circles and squares on major avenues, waterfronts, urban gateways, and scenic overlooks. It is in this area where the review commissions will encourage development of new commemorative and cultural facilities.

The new policy forms the basis for the draft Memorials and Museums Master Plan, which after an extensive public comment period, is now being finalized by the Planning Commission in cooperation with the two other federal commissions for release this summer. The master plan will guide the location and development of future museums and memorials in the Nation's Capital for the next 50 years. It takes effect upon adoption and has been incorporated into the Parks and Open Space element and other federal elements of the Comprehensive Plan.

We expect that in FY2002 the three review commissions will coordinate to propose revisions to the Commemorative Works Act resulting from their adoption of the Memorials Policy and the Memorials and Museum Master Plan.

QUESTION

9. Please provide a list of the *Legacy* or Monumental Core First Initiatives projects that have already been implemented and, or are planned for FY 2002 through FY 2004 and the funding required for each.

ANSWER

9. One of Legacy's key implementation proposals was the creation of a development corporation to coordinate and fund planning and development projects in specific areas of the city. This development corporation, the National Capital Revitalization Corporation (NCRC) was formed last year and has listed several of the Monumental Core First Initiatives projects among its priority areas. These projects include: the Anacostia Waterfront and feasibility studies of the South Capitol gateway, Poplar Point and Buzzard Point. NCRC, with \$25 million in federal funds approved its action plan on April 19, 2001. In addition to the establishment of NCRC, a list of the First Initiatives projects that are completed, are in progress, or scheduled to begin by FY2004 follows:

Wayfinding Signage System - A coordinated system of wayfinding signage for tourists and commuters to navigate throughout Downtown.

Status:

- NCPC participated in the development of and approved the wayfinding signage system, led by the Downtown Business Improvement District (BID).
- In August 1999 the Commission approved the design of the Downtown signage system consisting of 1,000 signs.
- In September 2000 the Commission approved orientation map signs and pedestrian directional signs on certain NPS property in the vicinity of the Mall and along Pennsylvania Avenue.
- The Georgetown BID is interested in implementing a similar signage system.

Budget Requirements:

- Total Project Cost (city-wide): \$2.2 Million (fabrication and installation)
\$1.6 Million (estimated over five years
for management and maintenance)
- Downtown Component: \$900,000 (fabrication and installation)

Responsible Agency: Downtown BID

Schedule:

- Installation of the Downtown orientation/wayfinding signage system began in Fall 2000. The Downtown component is almost complete.
- Vehicle signs are scheduled to go up in the spring; special Mall signs should be up within a year.
- The signage system is expected to be expanded to the rest of the City.

M Street Streetscape Improvements – Revitalization of M Street, SE with new streetscapes and pedestrian walkways (including decorative pavers and lighting, street trees, and street furniture) as part of the total redevelopment of the South Capitol Street corridor and Southeast waterfront.

Status:

- DPW and the Navy, in coordination with NCPC, initiated a detailed design and engineering plan for the streetscape.
- The Commission approved Phases 1 and 2 of the Streetscape Improvements in July 1999.
- NCPC will continue to coordinate any needed modification or new proposals.

Budget Requirements:

- Total Project Cost: TBD by DCDPW

Responsible Agency: Lead Agency--DCDPW, Department of Navy

Schedule:

- Phase 1 improvements began in November 1999 and are complete.
- Second phase “groundbreaking” is scheduled in Summer 2001
- A third phase is scheduled as part of the Maritime Plaza development project.

Memorials and Museums Master Plan - A master plan to guide the location and development of future memorials and museums, and protect the historic Monumental Core from future over development.

Status:

- NCPC established a Memorials and Museums Task Force to formulate policies and criteria for locating future memorials and museums.
- Staff drafted the Memorials and Museums Master Plan, which the Commission authorized for circulation to the public in November 2000.

Budget Requirements:

- Total Project Cost: Master Plan Cost: \$325,000
Future Memorials and Museums: TBD by Memorial Sponsors

Responsible Agency: Approving Agencies--NCPC, NCMC, CFA

Schedule:

- Final Master Plan expected to be released in Summer 2001

Downtown Circulator - An aboveground transportation system to improve mobility to, from and within the Monumental Core, encouraging visitors and commuters to leave their vehicles outside the Core.

Status:

- In 1999 the Downtown BID completed a feasibility study, which included a North-South Route (along 7th and 9th Streets, SW & NW) and an East-West Route (connecting Union Station, the Capitol, the Mall and Downtown)
- A Memorandum of Agreement was drafted and signed by various stakeholders, including, among others, NCPC, the Downtown BID, and the Mayor's Office.
- NCPC has committed financial participation and technical resources to develop an implementation plan for the Circulator system and a feasibility study for a more comprehensive system.
- The study will use the Downtown BID's 1999 Feasibility Study as a base but will also address visitor and federal employee needs.

Budget Requirements:

- Total Project Cost: TBD

Responsible Agency: Initial Phase of study—NCPC, DBID, DC Government

Schedule:

- Target completion date for study is end-2001.

Kennedy Center Access Improvements - multimodal access and aesthetic improvements to Kennedy Center by reconstructing highway and road network around the Center. Reconnect the Kennedy Center to the city on the east and to the waterfront on the west.

Status:

- Study team, with NCPC staff assistance, commenced a review and analysis of the study area.
- FHWA and Kennedy Center Representatives provided an informational presentation on the proposed plan to the Commission in December 2000.
- NCPC staff will continue to be involved in the coordination of this project and review it when it comes in for formal submission.

Budget Requirements:

- FY 2002 Budget Request: \$10 Million
- Total Project Cost: \$269 Million

Responsible Agency: USDOT-FHWA, NPS, DCDPW, Kennedy Center

Schedule:

Phase I (project planning/design, environmental review): 3-4 years

Phase II (site development, design, engineering, construction): 6-8 years

Phase III (ownership, operations, maintenance): Ongoing

In addition to the above projects that are complete or in progress, planning for the following projects is in the preliminary planning phase.

Waterfront Development (Anacostia Waterfront Initiative) - a revitalized waterfront along the Anacostia River, comprising a cohesive and attractive mix of public and private uses, and that will reconnect the waterfront and adjacent neighborhoods back to the City.

Status:

- NCPC completed 1st Phase Study in December 1999 and turned project over to DC-OP.
- Stakeholder coalition formed and MOU signed in March 2000, led by DC-OP.
- Public meetings kicked off in Spring 2000; consultant teams hired in December 2000; Mayoral kick-off meeting held in March 2001

Budget Requirements:

- \$1.3 million provided by USDOT to DC-OP for feasibility study
- Total Project Cost: TBD

Responsible Agency: Coordinating Agency--DC-OP; 20 Federal and Local agencies in the coalition

Schedule:

- Continuing public outreach scheduled to be held throughout 2001
- Final plan to be released in March 2002

South Capitol Street Redevelopment - a revitalized South Capitol Street corridor as a dramatic new precinct with a lively mix of public and private uses and a central focus for the area, linking the Capitol and the Anacostia River.

Status:

- NCPC has recently formed a study team to analyze the area.
- The team expects to hold exploratory meetings with NCRC and DC-OP to discuss strategy relevant to the Corridor, and to develop and sign an MOU (with other stakeholders) more formally laying out the group's objectives and responsibilities.
- NCPC expects to develop a sector plan for the Corridor, in coordination with DC-OP and NCRC.

Budget Requirements:

- Total Project Cost: TBD

Responsible Agency: NCPC, DC-OP, NCRC

Schedule:

- Start Sector Plan – FY 2001
- Complete Sector Plan – FY 2002

Future Initiatives include:

Southwest-Southeast Freeway Replacement - replace the Southwest/Southeast Freeway and reconnect the City back to the Anacostia waterfront

Status:

- Form NCPC study team to identify specific objectives, conduct review and analysis, formulate policies and procedures, and develop implementation strategy
- Staff resources to conduct analysis, work with stakeholders, cultivate public and Congressional support, attend meetings, conduct public outreach, draft proposal

Budget Requirements:

- Total Project Cost: TBD

Maryland Avenue, SW Redevelopment - a redeveloped Maryland Avenue, SW to serve as a major gateway to the Capitol.

Status:

- Form NCPC study team to identify specific objectives, conduct review and analysis, formulate policies and procedures, and develop implementation strategy
- Staff resources to conduct analysis, work with stakeholders, cultivate public and Congressional support, attend meetings, conduct public outreach, draft proposal/sector plan

Budget Requirements:

- Total Project Cost: TBD

14th Street Bridge Replacement - a new 14th Street Bridge as a single, monumental span, serving as a dramatic gateway entrance from Virginia into the nation's capital

Status:

- Form NCPC study team to identify specific objectives, conduct review and analysis, formulate policies and procedures, and develop implementation strategy

- Staff resources to conduct analysis, work with stakeholders, cultivate public and Congressional support, attend meetings, conduct public outreach, draft proposal

Budget Requirements:

- Total Project Cost: \$70-100 Million

QUESTION

10. Please provide a status of the Commission's effort to address security, planning and urban design issues related specifically to Pennsylvania Avenue and describe the work of its newly formed task force.

ANSWER

10. The Commission has established an interagency task force to evaluate the impact of federal security measures on the historic urban design of the Nation's Capital. The task force will examine existing security designs around the White House, including Pennsylvania Avenue between 15th and 17th Streets, and around national memorials and federal buildings in the city's Monumental Core. The task force will recommend design solutions that will improve the aesthetic and visual character of the city without undermining security.

Members of the Task Force include: the Secretary of the Interior, the Administrator of General Services, the Mayor of the District of Columbia, Council Chairman of the District of Columbia, and Richard Friedman, Presidential Appointee and Chairman of the National Capital Planning Commission. Special participants include: the United States Secret Service. Others invited to attend included: the White House Chief of Staff, Secretary of Defense, National Security Advisor, Secretary of the Treasury, Director of Central Intelligence Agency, Secretary of State, Architect of the Capitol, and the Chairmen of the Senate Governmental Affairs Committee, the Senate D.C. Subcommittee, the House D.C. Subcommittee and House Govt. Reform Committee.

On March 2, 2001, after a briefing by the US Secret Service on the closing of Pennsylvania Avenue, the Task Force held its organizing meeting followed by the kick-off meeting on March 23, 2001. This all-day meeting included briefings on security guidelines and design by both the General Services Administration and the National Park Service as well as briefings specific to the planning and design of the White House and Pennsylvania Avenue (in front of the White House) by representatives of the National Park Service and the Department of the Treasury (Environmental Assessment on the closing of Pennsylvania Avenue). The Task Force heard proposals from John Carl Warneke, Arthur Cotton Moore, NPS, Federal City Counsel / SOM, and Franck, Loshen, McCrery on both the option for the Avenue to remain closed and for the reopening of Pennsylvania Avenue.

The second meeting of the Task Force occurred on April 6, 2001 and centered on discussion of the RAND Corporation's recent report, "Security in the Nation's Capital and the Closure of Pennsylvania Avenue: An Assessment" and related discussions of security measures. A presentation and discussion on the potential use of innovative technologies for security uses was

facilitated by Simula Technologies. A conceptual look of the feasibility of a tunnel alternative (15th to 17th Streets, NW) was also presented and discussed.

The Task Force will continue meeting to explore options and alternatives to the current condition of the Avenue in front of the White House. It is anticipated that design alternatives will be developed and presented for options including the long-term closure of the Avenue, its possible reopening, as well as the possibility of a viable tunnel alternative.

During testimony given to the Chairman of the House D.C. Subcommittee at the hearings on the reopening of Pennsylvania Avenue in March, Chairman Friedman made a commitment to deliver the Commission's recommendations on Pennsylvania Avenue by July 2001.

QUESTION

11. Are there any plans for major projects at the Beltsville facility of the USDA? Is the Beltsville facility being managed consistent with the Beltsville area plan?

ANSWER

11. The Commission has been advised of eleven projects currently programmed by USDA for the Beltsville Agricultural Research Center (BARC). The projects involve both the construction of new facilities and the renovation of existing facilities to support ongoing research initiatives. The total funding for all eleven projects is \$181,682,000. The largest single project is upgrading the infrastructure for the East Farm, which is listed at \$105,000,000. Based on preliminary information, these projects appear to be consistent with the Master Plan for BARC, approved by the Commission in 1996.

The Commission has initiated, but has not yet completed, a sector plan for the Beltsville area. In light of the progress that has been made on the Master Plans of the individual installations in the Beltsville area, the Commission is currently re-evaluating the need to produce a final Beltsville Sector Plan.

QUESTION

12. We understand that the Supreme Court is embarking on a major construction project to update its worn facility. Will such a major investment at the current site be inconsistent with the long-range, *Extending the Legacy*, plan for the District?

ANSWER

12. Legacy envisions the possibility of a new Supreme Court site at the tip of South Capitol Street. Because the Supreme Court building is a National Landmark and does not readily lend itself to additions or alterations, expansion at its current site is not feasible. Only underground development could be sustained without despoliation of its architectural integrity, inside as well as outside. To achieve a more open setting for this third and separate but equal branch of government, Legacy offers the idea of creating a major new center, located in Monumental

Washington to symbolically represent the separation of the judiciary branch from the executive and legislative.

While in the short term, any major construction or reconstruction of the Supreme Court's current facility would not necessarily be inconsistent with the Legacy Plan, a longer range plan to relocate would be more responsive to the L'Enfant Plan's concept of a network of symbolic relationships among the three branches of government. A relocated Supreme Court to an area such as South Capitol Street would provide a sense of comparability between the Supreme Court's location and that of the U. S. Capitol and the White House. It could highlight a very distinctive and revitalized urban area and is consistent with the 1981 approved Master Plan for the U. S. Capitol.

QUESTION

13. Has the NCPC completed, or are you working on, any open space and natural areas plans for the national capital area?

ANSWER

13. The Parks, Open Space, and Natural Features Element of the Comprehensive Plan for the National Capital was adopted by the Commission on February 1, 2001. It establishes federal planning policies and recommendations related to parks, open spaces, and natural features in the National Capital Region (NCR) for use by the Commission in its role as the central planning agency for the federal government in the NCR; other federal department and agencies in their planning of federal parks and facilities; local, regional, and state governments; and the professional, business, and local community.

This element incorporates policies that have emerged from *Extending the Legacy* and the Memorials and Museums Master Plan as they relate to Commission responsibilities under the Commemorative Works Act. It addresses new and emerging issues affecting parks and open space areas and incorporates modifications that have been adopted over the past several years to further the goals and objectives of the National Capital Open Space System. The policies are intended to give greater recognition to, and strengthen the quality of, the major gateways to the Nation's Capital, such as South Capitol Street and New York Avenue; establish guidelines for the development of waterfront areas along the Anacostia and Potomac Rivers, including a general height limit of 65 feet within 200 feet of the rivers' shorelines; and provide for a continuous waterfront trail system with connections to the Kennedy Center and along military reservations, as appropriate. The new policy advocates stronger protection and increased restoration of natural shorelines and environmentally sensitive areas throughout the Region; give greater emphasis to the ecological significance of parks and open space and their effect on both the human and wildlife habitats, and place stronger emphasis on linking federal trails with local, regional, and state trails to improve access to Metro stations, major employment centers, and shopping and residential areas.

QUESTION

14. What actions can the NCPC take, and also the agencies funded by the Interior appropriations bill, to enhance the waterfront areas in the national capital area? What kinds of economic incentives can assist such activities? What kind of economic benefits may accrue from improved waterfront and riparian?

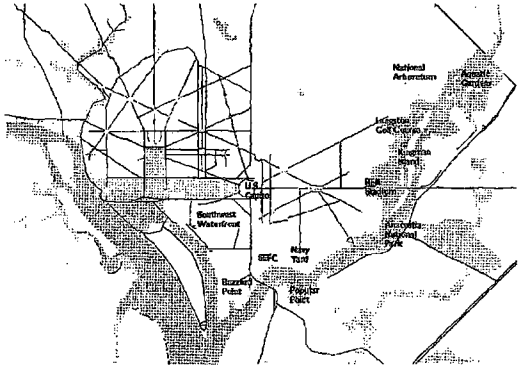
ANSWER

14. On March 22, 2000 NCPC joined the more than 20 other federal and District agencies, each of whom own land or have an interest in the waterfront of the District of Columbia. The partners have agreed to work on implementing a plan for a new energized waterfront that will unify diverse waterfront areas of the District of Columbia into a cohesive and attractive mixture of recreational, residential, and commercial uses. This partnership with the people of the District of Columbia, the

Waterfront Revitalization Endeavor will contribute to the revitalization of surrounding neighborhoods, provide enhanced park areas, development government-owned land, and increase access to the water, where appropriate and enhance visitor participation in the activities and opportunities provided along the new waterfront. NCPC has dedicated at least two full-time staff members to coordinate the work of the National Park Service, Department of Transportation, the District of Columbia Office of Planning and others in completing detail plans for the waterfront that are consistent with Phase I of the Waterfront Study released by the Commission in December 1999. The funding used to support these two staff members is estimated at \$183,000 and are supported out of the Commission's baseline budget. NCPC will coordinate the federal interest all along the waterfront by ensuring that its Comprehensive Plan objectives and policies respond to any proposed development or redevelopment and the particular requirements of these areas.

Additionally, as part of its project review and approval authority, NCPC can assist in shaping development in all of the waterfront areas. NCPC and the National Park Service must be active participants in this effort and may be required to contribute funding and, or dedicate staff to support the District in waterfront-related studies, planning efforts and other programs, such as the current Anacostia Waterfront Initiative.

By devoting staff and resources, NCPC and the Park Service, both funded by Interior Appropriations Bill, could also promote the enhancement of waterfront areas by siting new memorials and/or museums in the vicinity of the waterfront. Over seventy percent of the subject



land area and over ninety percent of the subject shoreline is currently publicly owned, with the National Park Service among the major landowners. This would improve the aesthetic quality of the waterfront area and could spur economic activity in these areas by attracting tourists.

Ensuring that lands along the waterfront remain in the public domain (federal or local jurisdictional) would preserve the open spaces and natural areas that are part of the waterfront ecosystem. Appropriate clean up and other mitigation measures to ensure the environmental stability and quality of the waterways could be shared by agencies funded through the Interior Appropriations Bill. Suitable infrastructure improvements, which would de-tangle the maze of highways and roads that currently sever (physically and visually) the waterfronts from the City could also be examined and recommendations prepared by these agencies.

Numerous economic benefits accrue from improving the waterfront areas. An enlivened waterfront will spur residential, retail and other commercial development. Enhancing waterfront-related activity in Washington's Southwest waterfront could in turn increase the investment in the neighborhood by bringing in more residents and visitors. Increasing the number of residents and tourists to the area would likely stimulate associated activities, e.g., new residential, retail and commercial development. New uses for the waterfront, such as hiking, biking, nature trail, habitat conservation, canoe and kayak rental facilities and other recreational activities would also provide economic benefits along the river. The comprehensive plan for the waterfront will be released in the fall of 2001.

**HOLOCAUST MEMORIAL
MUSEUM**

Statement by Sara J. Bloomfield
Director of the United States Holocaust Memorial Museum

Submitted for the Record
House Appropriations Subcommittee on Interior and Related Agencies

Mr. Chairman, Members of the Subcommittee, it is an honor to report to you about the accomplishments of the United States Holocaust Memorial Museum. On behalf of the institution and the millions of Americans who benefit annually from its programs, I want to thank you for your generous support of the Museum and its mission. We also appreciate the importance placed on the Museum's mission as indicated by the granting of permanent statutory authority that was signed into law on October 12, 2000 (P.L. 106-292).

The Museum's budget request for FY 2002 is \$36,027,561. This is an increase of \$1,663,561 over the FY 2001 appropriation, which will permit continuation of current service levels in all administrative and core programmatic areas. Included in this amount are increases for the effects of scheduled pay raises and inflation and increases imposed by the General Services Administration for leased space, funding for a special assistant to the Director as recommended in the 1999 NAPA report, and funding for a financial systems administrator. The financial systems administrator will provide support to the new consolidated Federal and non-appropriated financial system implemented in 2000-2001 by the Museum with non-appropriated funds.

The non-appropriated side of the public-private partnership will provide additional funding to extend the reach of the Museum through educational programs and traveling exhibitions nationwide. In FY 2001, the Museum expects to spend approximately \$27 million from all non-appropriated sources, including restricted grants.

In addition to funds contributed to the Museum, the private component of the partnership also includes contributed services and a modest amount of endowment income. In 2000, more than 300 volunteers, including 60 Holocaust survivors, donated more than 57,000 hours of service (27 work years) to the Museum.

We are gratified that through the federal appropriation and this significant private support, the Museum has been able to respond to the enormous demand for its programs and services. The institution's service and success, now and in the future, extend well beyond Washington. To date, the Museum has welcomed over 16 million visitors, has reached more than a million people through traveling exhibitions, and annually serves over two million "visitors" to its website. The Museum is at the center of a national program of Holocaust remembrance and education. This year, President Bush delivered the keynote address at the annual national Days of Remembrance commemoration held in the Capitol Rotunda. In addition, all 50 states and hundreds of communities hold their own annual ceremonies for the victims of the Holocaust. The Museum's website, traveling exhibitions, publications, regional programming, fellowship opportunities, and curricular resources reduce the barriers imposed by geographical distance and bring the Museum's mission to the nation.

Exhibitions and related programs are the most visible means by which the general public has access to the Museum. The Museum has a long-range exhibition plan to ensure

that its programming is thoughtful, balanced and can best serve the needs of the diverse American public. The Museum's no-year exhibition development fund provides essential support for the planning, design and fabrication necessary to bring these exhibition plans to completion. During FY 2000, the Museum opened a major special exhibition, *Flight and Rescue*. It tells the remarkable story of the flight of Polish Jewish refugees through Lithuania, the Soviet Union, and Japan, to final destinations in China, the United States, and elsewhere. The Museum also devoted considerable time during the past year toward the planning and research for a major special exhibition on Nazi racial science, scheduled to open in spring 2004. Interim smaller exhibitions for 2002 and 2003 are also in development.

In addition to ongoing special exhibitions in Washington, the Museum offers traveling exhibitions and associated educational programs that will reach nine cities across the country in FY 2001. As a result of private funding, the Museum created a panel version of one of its earlier exhibitions – *Assignment Rescue: The Story of Varian Fry and the Emergency Rescue Committee* – and recreated as a traveling exhibition the Museum's popular *Remember the Children: Daniel's Story* and the special exhibition *THE NAZI OLYMPICS Berlin 1936* for presentation to communities around the nation.

Teacher training and outreach to secondary schools are core activities of the Museum. The Museum provides resource materials, technical assistance, and formal training to more than 20,000 educators annually. For example, the Arthur and Rochelle Belfer National Conference annually brings together 400 teachers with little or no experience teaching the Holocaust. At the other end of the spectrum, the Mandel Fellowship Program is designed to provide advanced training to a group of highly skilled teachers who can serve as leaders of Holocaust education in their own communities. In this way, the Museum leverages its impact and maximizes the value of its limited resources. The Museum has also embarked on a series of educational programs for professionals. These include training programs at the Museum for seven area police departments, federal judges, the U.S. Naval and Military Academies, the FBI, and the Foreign Service.

The Center for Advanced Holocaust Studies supports the Museum's programs as well as scholarship in the field, including research, publication, teaching at institutions of higher learning, and the training of new scholars. With support from non-appropriated funds in 2000-2001, the Center hosted 28 visiting fellows, including senior, mid-career and younger scholars from 12 states and 9 foreign countries. In addition to a Fellows Discussion Group, where scholars share and critique their research findings, two special lecture series and a senior seminar were organized for visiting and staff scholars of the Museum in 2000-2001. The Center also offered a seminar for professors at Historically Black Colleges and Universities, who were teaching or preparing to teach courses related to the Holocaust. Fourteen faculty members representing 11 colleges and eight states participated. Finally, over 50 colleges and universities from Alabama to Washington participated in the Center's post-secondary education programs in 2000-2001.

The administrative and maintenance functions necessary to operate the Museum are funded largely through Federal funds. The Museum is grateful for the generosity of Congress in responding to the Museum's success with adequate funding for necessary increases in fixed costs. A significant accomplishment for FY 2000 was in the area of energy conservation. A major project that allows reduced running time of the chillers providing environmental controls in the Permanent Exhibition was completed. During

the first six months of FY 2001, a savings of over \$32,000 was realized. Studies are underway to identify further improvements to achieve additional energy savings.

In conclusion, the United States Holocaust Memorial Museum is well placed to carry out its mission of education and remembrance. As the last century drew to a close, ethnic cleansing was taking place in Europe and in the half century since the Holocaust, the mid-century vow of "Never Again" has been repeatedly forgotten. Clearly Holocaust education is as important as ever, as each generation must learn anew the lessons of this tragic history and its implications for the preservation of democratic values. It is the Museum's privilege and challenge to be able to continually respond to the deep and growing demand for Holocaust education in meaningful ways. Our success will always depend on the combined efforts of the public-private partnership.

Thank you for this opportunity to share the accomplishments of the Museum and for your ongoing support of this unique federal institution.

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