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Betsy K. McCreight

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Federation of Public Programs in the Humanities

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AUG 24 1979

August 21, 1979



The Honorable Claiborne Pell
U. S. Senate
325 Russell Senate Office Building
Washington, D. C. 20510

Dear Senator Pell:

As a result of consultation with the state humanities councils and a meeting of the Executive Committee of the Federation I am now in a better position to respond to your request for information about the attitudes of the states toward the change in the funding formula for state humanities programs which has been proposed by the Office of Management and Budget.

The present formula, as you know, awards 75% of funds available for state programs in equal amounts to each state and gives the Chairman of NEH discretion in the awarding of the remaining 25% without specifying any criteria by which he is to make judgment.

The proposed formula contains two basic changes:

- the amount to be awarded at the discretion of the NEH Chairman is increased over 5 years to become 50% of funds available for state humanities programs;
- three criteria are included which the NEH Chairman may consider in making state grants, although there is no requirement that he consider any of them. The criteria are:
 - quality and focus of program;
 - levels of state appropriations to the grant recipients;
 - state population.

I will discuss each part of the changes individually in order to be as clear as possible in stating our understandings and some opinions, and will deal with the three criteria first.

Quality and focus of program

There is absolute unanimity of opinion that quality has always been a primary aim of the state humanities programs and should be a factor in determining

the size of grants. Indeed, it is our impression that quality has been a factor in the awarding of grants to states throughout the history of state programs. We are certain that each state program is improving in excellence each year, but that none is satisfied with its present level of attainment.

Focus of program is a phrase which causes considerable concern. Focus is a most imprecise term. At the least, we can see potential for continual dispute over what constitutes focus and to what sorts of ends it should point. At the worst, it could be construed to prevent state humanities programs from having the broad opportunities to serve their states which were included in section 7(f)(1) by the 1976 reauthorization and which are reaffirmed in section 7(f)(2)(B) of your proposed Senate Bill 1386. If the aim of OMB is to encourage state humanities programs to state clearly and justify cogently the purposes for which they will make grants, the language of the legislation needs to be changed to make clear what is intended. It is not possible for the states to endorse the present language since they cannot know what it means.

Levels of state appropriations

This language mirrors that used for state arts agencies, but at present is appropriate for only two state humanities programs, Alaska and Minnesota, each of which has short-term appropriations from state government. More appropriate language, which would include state appropriations, but which would also include the private funds which state humanities programs are increasingly successful in raising, would be "levels of non-Federal funds secured by the grant recipients." One of the greatest opportunities which the state humanities programs have is to achieve strong private support for the humanities, and any legislation should encourage that effort.

As a matter of fact, there is considerable diversity of opinion whether the amount of funds secured from non-Federal sources should even be a criterion for basic NEH grants. The most cogent concerns are the following:

- funds secured by a particular state program from non-Federal sources might be considered to reduce its need of NEH funds rather than to merit additional funds;
- corporate and foundation resources vary widely from state to state, as do state governmental resources. Even if all state programs were equally diligent in seeking non-Federal funds, it is obvious that the potential in the various states is unequal so that the proposed criterion is inevitably inequitable.
- heavy dependence on an outside-funds criterion will require considerable administrative time and expense, which would, in many cases, reduce the resources available for building

program, increasing visibility and other vital activities.

The states are pleased with the opportunity in the Gifts and Matching Program of the Endowment for securing additional Federal dollars to match funds raised by the state programs, but they are not in favor of having fund-raising success be a key factor in determining basic grants from NEH.

State population

As you might guess, the enthusiasm with which a state program views the use of a population criterion in determining NEH grants varies in relation to the size of that state's population. There is no question that the present formula, with 75% of all funds divided evenly among the states without reference to any kind of criterion, heavily favors states with small populations and penalizes those with large. You can see the effects graphically demonstrated in the per capita column of the chart of NEH grants to states in 1976 which is attached.

However, there is no question that there are other basic factors characteristic of every state which are at least as important as size of population in determining resources needed to support an effective state humanities program. Some of these are:

- geographic size;
- population density;
- number and strength of other humanities resources (colleges and universities, libraries, museums, scholarly presses).

It is easy to see that the states with smaller populations are likely to have other characteristics which make their need for NEH support proportionately larger.

It is the considered opinion of most state programs that large-population states need to have consideration paid to their population in determining NEH grants, and the present funding formula does not leave the NEH sufficient flexibility to give that consideration. However, no state wants population to become a major determining factor to the exclusion of important demographic and resource factors which are not included in the OMB formula.

Therefore, while the states agree that the criteria specified in the funding formula proposed by OMB are valid to varying degrees, the states do not agree that these criteria encompass all of the factors which should be considered or even that they include the most important factors to be considered.

Increase in Chairman's discretionary amount

The wisdom of increasing the proportion of funds to be awarded to state humanities programs at the discretion of the NEH Chairman to 50% of the total is a matter about which it is impossible to make an unqualified statement. The states, based on their history of experience with the Endowment, are confident that the present Chairman will exercise careful and considered judgment in the award of any funds at his discretion. It is not possible to forecast any future times or persons, however, and therein lies the reluctance of the states to endorse this provision, which greatly increases the Chairman's discretion and suggests, but does not require, criteria which are neither an appropriate group nor an adequate standard for judgment.

The states agree that the present formula does not allow the Endowment enough latitude to make necessary judgments about state grants, but suspect that the OMB proposal may very well allow too much, though there is no way to forecast how it will in fact be applied.

As an illustration of possible alternative approaches, I include two formula proposals, drawn up by the Texas and Washington programs. Although other state programs have not had the opportunity to approve or disapprove of these proposals, I am enclosing them to indicate the directions which state thinking takes when considering changes in funding formulae.

We are all anxious that whatever formula is adopted by the Congress be one which allows each state humanities program to grow in excellence without placing it in a position of competition with other states for NEH funding. We see such a possibility as destructive of excellence of program, and as wasteful of resources which would otherwise build stronger state humanities programs.

In my opinion it is unwise to insist that the arts and humanities endowments be Siamese twins and I am therefore concerned because the OMB funding formula reflects that attitude. Admittedly there is reason for similarity of treatment for the endowments, but there are also sharp differences between them which are important and should not be ignored.

One important distinction is that between the basic nature of the state arts programs and the state humanities programs. Public arts programs are largely spectator events of one kind or another, while public humanities programs must secure the individual involvement of each participant in learning new ideas and concepts. Accordingly, public humanities programs need different methods for attracting participants, since those participants must be involved in the process rather than be spectators.

Another basic difference between the arts and the humanities which affects the state programs is that historically and by nature the arts are public disciplines. They are aimed for the most part at large audiences. On the

contrary, the humanities ordinarily have been private disciplines, aimed at small groups of students, scholars and individual readers. This produced a very different attitude in the practitioners of the humanities, most of whom are unaccustomed to public audiences, often not convinced that a public audience is appropriate for their work, and usually unskilled in the techniques of presentation needed for a public audience.

Because of these two particular differences between the arts and the humanities, public humanities programs have a set of needs and concerns which are distinct from those of public arts programs. We are engaged in a missionary endeavor both to our potential audiences and to the scholars and teachers in the humanities, an effort to convince both groups that they should venture into new and unfamiliar territory and that the result will be valuable to them.

The understanding of the Congress of the importance of the humanities to the sound functioning of this nation was significant, and its vision that the humanities should be brought to the public was an entirely new idea. Many of us also are committed to that same vision and are grateful for it and we hope that its very special character is not impaired by insistence that it accommodate to inappropriate regulations merely for the sake of legislative symmetry.

We would like to comment on two additional portions of the OMB proposal: the provision in Section 7(f)(4) which defines populous states; and the provision in Section 11 (c)(3)(B) which changes the Gifts and Match requirements.

Populous states

This provision differentiates between those states which have 200,000 or more population and those with less in setting the required minimum funding for a state humanities program. We think that this distinction is a wise one which will enable the establishment of humanities programs in the less populous territories without requiring that they be given excessive funds.

Gifts and Matching

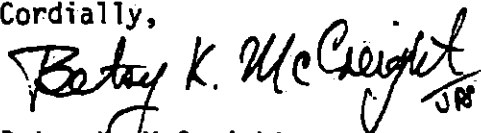
As you know, the state humanities programs have had considerable difficulty with the requirement that gifts to them be transmitted to the NEH and become Treasury funds before the matching mechanism can operate. This not only causes inordinate accounting work which is costly, but it has prevented some gifts from state governments from being matched where state law forbids payment to the federal government. We are told and we hope that the insertion of "and by the Endowment grantees" in Section 11(c)(3)(B) will make it possible for gifts to remain with the state programs and be certified for match by NEH. This is a result which the states heartily seek, as it would enable them to make use of additional avenues of support in the Gifts and Match Program, however, we hope that the language of the section can be modified to make this explicit.

Senator Pell
August 20, 1979
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For your information I am attaching letters from the state programs in Florida, Michigan, Missouri, Nebraska, North Carolina, Ohio, Oregon and Vermont, which will give you some idea of the variety of thinking on the matter of the OMB funding formula.

We continue to appreciate your dedication and careful attention to the work and future of state humanities programs. Your long-time support of wider availability and utilization of the humanities in this country has been a major factor in the success of the state programs.

Cordially,



Betsy K. McCreight
Vice Chair, Federation of Public
Programs in the Humanities
and Chair, Humanities Foundation of
West Virginia

BKMc:jle

Enclosures

cc: Senator Jennings Randolph
Senator Harrison A. Williams
Senator Edward M. Kennedy
Senator Thomas F. Eagleton
Senator Robert T. Stafford
Senator Richard S. Schweiker
Senator Jacob K. Javits

NEH GRANTS TO STATE HUMANITIES PROGRAMS

	POPULATION ¹			NEH GRANT ²			PER CAPITA ³		GIFTS AND MATCHING AUTHORITY ⁴		
	1976 Census Revision	% U.S.	Rank	Amount	% DSP Total	Rank	¢	Rank	Amount	% G & M Funds	Rank
ALABAMA	3,665,000	1.69 %	21	\$ 360,235	1.63 %	26	10 ¢	31	\$ 25,000	.625 %	32
ALASKA	382,000	.18 %	51	\$ 428,414	1.94 %	10	112 ¢	1	\$ 300,000	7.50 %	2
ARIZONA	2,270,000	1.05 %	33	\$ 344,000	1.56 %	31	15 ¢	19	\$ 20,000	.50 %	34
ARKANSAS	2,109,000	.97 %	34	\$ 341,200	1.54 %	32	16 ¢	18	\$ 110,000	2.75 %	16
CALIFORNIA	21,520,000	9.93 %	1	\$ 806,000	3.65 %	1	4 ¢	50	\$ 400,000	10.00 %	1
COLORADO	2,583,000	1.19 %	29	\$ 351,000	1.59 %	29	14 ¢	21	\$ 30,000	.75 %	30
CONNECTICUT	3,117,000	1.44 %	24	\$ 361,000	1.63 %	25	11 ¢	28	\$ 150,000	3.75 %	11
DELAWARE	582,000	.27 %	48	\$ 308,000	1.39 %	44	53 ¢	4	\$ 40,000	1.00 %	26
FLORIDA	8,421,000	3.89 %	8	\$ 407,725	1.84 %	15	5 ¢	44	-0-	-0-	--
GEORGIA	4,970,000	2.29 %	15	\$ 402,300	1.82 %	17	8 ¢	37	\$ 20,000	.50 %	34
HAWAII	887,000	.41 %	41	\$ 362,000	1.64 %	24	40 ¢	9	\$ 200,000	5.00 %	6
IDAHO	831,000	.38 %	42	\$ 326,993	1.48 %	35	39 ¢	10	\$ 40,000	1.00 %	26
ILLINOIS	11,229,000	5.18 %	5	\$ 593,325	2.68 %	4	5 ¢	44	\$ 250,000	6.25 %	4
INDIANA	5,302,000	2.45 %	12	\$ 414,600	1.88 %	14	8 ¢	37	\$ 200,000	5.00 %	6

Federation of Public Programs in the Humanities
 15 South Fifth Street - Suite 720
 Minneapolis, MN 55402

May 1979

NEH Grants to State
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	POPULATION ¹			NEH GRANT ²			PER CAPITA ³		GIFTS AND MATCHING AUTHORITY ⁴		
	1976 Census Revision	% U.S.	Rank	Amount	% DSP Total	Rank	¢	Rank	Amount	% G & H Funds	Rank
IOWA	2,870,000	1.32 %	25	\$ 313,750	1.42 %	40	11 ¢	28	\$ 50,000	1.25 %	22
KANSAS	2,310,000	1.07 %	32	\$ 317,000	1.43 %	39	14 ¢	21	\$ 20,000	.50 %	34
KENTUCKY	3,428,000	1.58 %	23	\$ 373,747	1.69 %	21	11 ¢	28	\$ 20,000	.50 %	34
LOUISIANA	3,841,000	1.77 %	20	\$ 337,000	1.52 %	33	9 ¢	32	\$ 250,000	6.25 %	4
MAINE	1,070,000	.49 %	39	\$ 318,000	1.44 %	37	29 ¢	13	\$ 10,000	.25 %	41
MARYLAND	4,144,000	1.91 %	18	\$ 368,400	1.67 %	22	9 ¢	32	\$ 80,000	2.00 %	18
MASSACHUSETTS	5,809,000	2.68 %	10	\$ 417,000	1.89 %	13	7 ¢	42	-0-	-0-	--
MICHIGAN	9,104,000	4.20 %	7	\$ 497,000	2.25 %	8	5 ¢	44	\$ 200,000	5.00 %	6
MINNESOTA	3,965,000	1.83 %	19	\$ 379,000	1.71 %	20	9 ¢	32	\$ 50,000	1.25 %	22
MISSISSIPPI	2,354,000	1.09 %	30	\$ 346,000	1.57 %	30	14 ¢	21	\$ 20,000	.50 %	34
MISSOURI	4,778,000	2.21 %	15	\$ 403,000	1.82 %	16	8 ¢	37	-0-	-0-	--
MONTANA	753,000	.35 %	44	\$ 312,000	1.41 %	41	41 ¢	8	\$ 5,000	.125 %	46
NEBRASKA	1,555,000	.72 %	36	\$ 328,900	1.49 %	34	21 ¢	16	\$ 60,000	1.50 %	21
NEVADA	610,000	.28 %	48	\$ 309,000	1.40 %	43	51 ¢	5	\$ 10,000	.25 %	41
NEW HAMPSHIRE	822,000	.38 %	43	\$ 296,000	1.34 %	49	36 ¢	11	-0-	-0-	--
NEW JERSEY	7,336,000	3.39 %	9	\$ 457,800	2.07 %	9	6 ¢	43	\$ 22,500	.563 %	33
NEW MEXICO	1,168,000	.54 %	38	\$ 296,000	1.34 %	49	25 ¢	14	\$ 10,000	.25 %	41
NEW YORK	18,084,000	8.35 %	2	\$ 758,800	3.43 %	2	4 ¢	50	\$ 300,000	7.50 %	2

NEH Grants to State
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	POPULATION ¹			NEH GRANT ²			PER CAPITA ³		GIFTS AND MATCHING AUTHORITY ⁴		
	1976 Census Revision	% U.S.	Rank	Amount	% DSP Total	Rank	\$	Rank	Amount	% G & M Funds	Rank
NORTH CAROLINA	5,469,000	2.52 %	11	\$ 419,170	1.90 %	12	8 ¢	37	\$ 30,000	.75 %	30
NORTH DAKOTA	643,000	.30 %	46	\$ 309,000	1.40 %	43	48 ¢	6	\$ 200,000	5.00 %	6
OHIO	10,690,000	4.93 %	6	\$ 593,404	2.69 %	3	5 ¢	44	\$ 150,000	3.75 %	11
OKLAHOMA	2,766,000	1.28 %	28	\$ 358,122	1.62 %	27	12 ¢	27	\$ 150,000	3.75 %	11
OREGON	2,329,000	1.07 %	31	\$ 317,600	1.44 %	38	14 ¢	21	\$ 80,000	2.00 %	18
PENNSYLVANIA	11,862,000	5.47 %	4	\$ 560,000	2.53 %	6	5 ¢	44	-0-	-0-	--
PUERTO RICO	2,712,000	1.25 %	26	\$ 363,000	1.64 %	23	13 ¢	25	\$ 20,000	.50 %	34
RHODE ISLAND	927,000	.43 %	40	\$ 321,000	1.45 %	36	34 ¢	12	\$ 75,000	1.875 %	20
SOUTH CAROLINA	2,848,000	1.31 %	27	\$ 356,600	1.61 %	28	13 ¢	25	\$ 20,000	.50 %	34
SOUTH DAKOTA	686,000	.32 %	45	\$ 310,000	1.40 %	42	45 ¢	7	\$ 150,000	3.75 %	11
TENNESSEE	4,214,000	1.94 %	17	\$ 386,000	1.75 %	19	9 ¢	32	\$ 100,000	2.50 %	17
TEXAS	12,487,000	5.76 %	3	\$ 591,837	2.68 %	5	5 ¢	44	\$ 150,000	3.75 %	11
UTAH	1,228,000	.57 %	37	\$ 306,600	1.39 %	45	25 ¢	14	\$ 10,000	.25 %	41
VERMONT	476,000	.22 %	49	\$ 306,000	1.38 %	46	64 ¢	3	\$ 50,000	1.25 %	22
VIRGINIA	5,032,000	2.32 %	13	\$ 423,080	1.91 %	11	8 ¢	37	\$ 40,000	1.00 %	26
WASHINGTON	3,612,000	1.67 %	22	\$ 524,000	2.37 %	7	15 ¢	19	\$ 200,000	5.00 %	6
WEST VIRGINIA	1,821,000	.84 %	35	\$ 303,400	1.37 %	47	17 ¢	17	\$ 50,000	1.25 %	22
WISCONSIN	4,609,000	2.13 %	16	\$ 393,000	1.78 %	18	9 ¢	32	\$ 10,000	.25 %	41
WYOMING	390,000	.18 %	50	\$ 300,000	1.36 %	48	77 ¢	2	\$ 40,000	1.00 %	26

NOTES

1. U.S. Population, 1976 census revision (incl. Puerto Rico): 216,670,000
2. The total FY-1979 amount available to the NEH Division of State Programs (DSP) for grants to states and territories: \$ 22,100,000
The Endowment is required by law to set aside minimum grant amounts for the territories equal to those made to operating programs.
Also, some definite funds have been used to match gifts.

Total grants to operating programs: \$ 20,077,001
Average grant: \$ 393,667
Median grant: \$ 360,235

3. National per capita average: 10¢ (Total grants to operating programs divided by U.S. population)
4. Gifts and Matching (G & M) authority totals \$4,367,000, or 21% of \$20 million, the estimated Matching funds available.

G & M Authority represents the maximum total of gifts and matching treasury dollars which the NEH will return to each state program. In other words, a state program may submit up to half its G & M authority for match by treasury dollars.

The amount for each state is that recommended at the latest National Council meeting at which that state's proposal or second year request was approved. Many states, of course, have carryover G & M authority from previous grants and hence the figure shown may represent only a part of matching funds currently available. The figures in the G & M chart, therefore, are in a sense more suggestive than absolute. We hope to make available soon a more detailed presentation of state by state use of G & M authority in the past few years.

Average G & M authority recommendation: \$ 94,946
Median G & M recommendation: \$ 50,000

Per Capita and G & M Ranking:

In cases where more than one state shows the same per capita amount, the same ranking number is assigned. This rank is the highest (smallest) number sequentially from 1 - 51. For example, both New York and California show per capita amounts of 4¢. In the sequence of 1 - 51, they would be ranked 50 and 51 (lowest) but on the chart they are grouped, and both ranked 50th.

According to our information, 46 states received G & M authority; hence 46 is the last number in the G & M ranking sequence. There were only 18 different dollar amounts recommended.