

NEW MEXICO HUMANITIES COUNCIL

4115 SILVER SE

ALBUQUERQUE, NM 87107

505/633-7370

FAX: 505/633-7377

WWW.NMHUM.ORG



Grant Application INSTRUCTIONS

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APPLICATION DEADLINES:

Regular Grant (over \$2,000)

February 1

October 1

The New Mexico Humanities Council accepts applications for funding to conduct high quality humanities programs for public audiences throughout New Mexico.

What are Public Humanities Programs?

Public: They are intended primarily for adults who are not full-time students and for families. They are programs widely advertised and held at times and in locations accessible to the general public.

Humanities: The act that established the National Endowment for the Humanities says, “The term ‘humanities’ includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism, and theory of the arts; those aspects of social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life.” NMHC will also fund projects that deal with the historical and human values aspects of science and technology.

Programs: They may vary as widely as New Mexico’s communities and audiences. These programs bring scholars and the public together in a dialogue that enhances the civic and cultural life of the citizens of the state. For examples of recent programs funded by NMHC, please visit our website at www.nmhum.org, read our newsletter, or request a list of grants (if one is not already enclosed). **Note the formats, deadlines, and required consultations listed on the application cover sheet.** If you are uncertain whether or not yours is a fundable project, please call and talk with us about it.

Types of Grants

Direct Grant Awards make an outright award of NMHC funds. Like all NMHC grants, the grant must be matched, which means that other sources must meet at least half of the project’s total costs. For a Direct Grant this requirement can be satisfied entirely with in-kind contributions, such as donated facilities, services, and time. Direct grants may also be matched with a sponsor’s cash.

- **Mini Grants:** *NMHC is evaluating the mini-grant program and will not be accepting mini-grant applications this year. Please apply under the Regular Grant deadlines to seek support and apply for your public humanities programming. Stay tuned for further developments in our grant program.*

- **Regular Grants:** provide more than \$2,000 of NMHC funds for a public humanities program.

Funding Exclusions

NMHC policies & guidelines *exclude* grant funding for the following types of projects, activities and costs:

- “bricks and mortar” projects such as construction, renovation, or preservation.
- fine or performing arts, though NMHC often funds programs that interpret the arts (such as history, theory, criticism).
- equipment purchase (in some cases, NMHC may fund a purchase if it is more economical than rental for a project; such equipment reverts to NMHC at the end of the project).
- grantee fundraising events or events intended to make a profit.
- curriculum development.
- broadcast quality film or video projects; NMHC will fund films or videos if they are an integral part of another project, such as a video as part of an exhibit or oral history project.
- publication, unless it is directly linked to public programs, such as a gallery guide or interpretive program notes.
- classroom presentations or “how to” workshops.
- fellowships or scholarships.
- research, except as preparation for a public program.
- activities taking place before the funding decision by NMHC’s Board.
- projects that advocate only one point of view or one course of action.
- professional conference events intended solely for those registered at the conference; conference events that are open and accessible to the general public may be considered for funding.
- salaries: NMHC will pay honoraria, but not full market cost for participation in NMHC funded grant projects.
- costs occurring before or after the grant period.
- costs of meals and refreshments, unless the meals are per diem expenses for scholars or others who must travel from out of town to participate in the project and will have to stay overnight.
- indirect costs expressed as a percentage of other costs to be supported by NMHC funds. That is, if you request \$3,000 for program expenses, you cannot simply add, say, 10% to cover the indirect costs of your project. However, most of what is normally included under indirect costs are legitimate project costs: telephone, postage, secretarial support, fiscal support, use of facilities, etc. NMHC funds can be requested for these purposes provided they are itemized and explained; for example, secretarial support for 20 hours @ \$10/hour.
- administrative costs to cover insurance and retirement/pension contributions must be included in the honorarium figure. NMHC will pay up to \$350 in honoraria per speaker for a single public event.

Who Can Apply?

NMHC is authorized to award grants to private, nonprofit organizations in good standing including institutions of higher education and state, local, and federally recognized Indian tribal governments. Organizations or groups that apply for funding must be constituted for nonprofit purposes, but it is not necessary that they be incorporated or have tax-exempt status. Individuals working alone are not eligible to apply for NMHC grants, but may be able to find a private, nonprofit organization to serve as sponsor and applicant.

If you are funded you may receive funds with certain conditions attached: For example, you may be asked to revise your budget or provide additional documentation of support. You will also be asked to provide detailed reports during and at the end of your project, including expenditures of grant funds, cost-sharing, and evaluation. You will be asked to maintain documentation in support of your reports, such as canceled checks, invoices, donor letters, time and attendance records, etc.

Essential Personnel

Project Director - the person who directs the planning, implementation, completion, and evaluation of project activities and events. The project director is the primary contact for the project and bears responsibility for preparing and submitting the reports to NMHC. The project director receives all correspondence from the Council.

Official or Sponsoring Organization - a person, other than the project director, with the authority to represent the sponsoring organization. This person signs the application with the understanding that he/she is certifying to NMHC that the sponsoring organization is eligible to receive federal funds and will comply with applicable federal law if funds are awarded. The *Instructions for Certification* included with this application explain what this involves. This person must co-sign agreements and requests for payment with the project director. He/she will accept fiscal responsibility on behalf of the sponsor and will file reports if the project director cannot.

Humanities scholar(s) - individuals with specialized competence or training in one or more of the humanities disciplines, usually reflected in advanced degrees. NMHC may also recognize as scholars community and tribal elders and historians, cultural specialists, tradition bearers, self-trained humanists, and other humanists working in a non-academic setting who can bring consideration of the humanities to bear on civic and community life.

Evaluator – an independent evaluator (someone who has separation from project goals and objectives and who is not a participant) is required on all NMHC-funded projects. Evaluator must include Statement of Intent form.

****A change in any of the above personnel requires written notification****

Other Grant Considerations

- Any organization that receives funding from NMHC is welcome to apply again only after the current grant has successfully closed. If the program activities described are different from the previous grant the Council will consider it a legitimate request and not a form of repeat funding.
- NMHC will normally fund at least half of the grant request with the balance of the project being supported by Sponsor's Matching Cash and In-Kind Donations, Third Party Cash, or Project Income. (A 1:1 match is required for all NMHC funds requested.) NMHC grants are funded between \$500 - \$10,000. The average amount granted by NMHC is \$5,500.
- Preference will be given for outreach to new and/or historically under-served audiences, new venues or locations, the participation of new scholars in NMHC projects and/or projects that involve under-represented humanities disciplines.
- Preference will be given to applicants who respond to NMHC RFPs (Requests for Proposals).
- Preference will be given to applicants for "targeted strategic programming" instead of "catch-all programming" or for an "add-on" humanities component.
- All regrant decisions are made by the NMHC Board as recommended by the NMHC Regrant Committee.

How Do I Apply?

The Council strongly advises that you read the entire guidelines before beginning your application. *Please note consultation deadlines!*

1. Plan your project carefully:

- Include members of the community to be served as well as humanities scholars in your planning process.
- Obtain indications of support from community organizations.
- Prepare a detailed budget and schedule.
- Allow ample time for securing scholar information, letters, etc.

2. Discuss your application with the NMHC staff:

- **All applicants must consult with NMHC staff**, even veteran project directors, before submitting a grant application. The purpose behind this requirement is to improve each applicant's chances of being funded by dealing with problems, missing information, budget questions, and eligibility issues early enough to allow for corrections.
 - I. **All applicants** must consult with NMHC staff via phone, **(505) 633-7374**, or in person at the NMHC Office. Without consultation, NMHC reserves the right to reject an application.
 - II. **All applicants** must have a draft prepared to be reviewed during consultation.
 - III. Grant workshops are offered for 5 or more people. Call (505)633-7374 to schedule a workshop in your area.
 - IV. For consultation and final application deadlines, please see page 7.

3. Complete every portion of the application in full:

- **Application Form**

Important: Be sure to supply all information requested and have the form signed by two people, the project director and the fiscal agent.

- **Project Description** - Narrative answers to Questions 1 - 11

- **Budget Summary Form**

- **Scholar Form from all humanities scholar(s), evaluator(s), and project director(s).**

Statements provided within the form serve as a letter of commitment to the project.

****Important**: Please respect this request for abbreviated Scholar Form in place of résumé and do not expand to more than one page. *Longer forms will be discarded after the first page.* (What the NMHC staff and board need to know is why this person participating is well-suited for this project).

- **Essential Supporting Materials** - You are welcome to include additional materials that support your application. These might include: letters of community support, articles describing this or previous projects, and evaluations of previous projects. Please limit supporting materials to five pages or less and attach with each copy of application.

4. Assure all signatures are collected

When you submit the application, each participant is required to electronically sign the application. This includes the Project Director, Fiscal Agent, and ALL participating scholars. Each person will receive an email with steps on how to sign. The Project Director and Fiscal Agent will ultimately sign two times: once to agree to their role in the grant and again at the FINAL submission of the grant.

5. Obtain and Register a DUNS Number

You are required by federal law to have a Data Universal Numbering System (DUNS) number in order to apply. If your application is chosen for funding, your number must be **registered** in order to receive payment. Plan ahead-- registration can take anywhere from 2-6 weeks! Follow the links below to obtain a DUNS number and to register your DUNS number.

To OBTAIN a DUNS Number, go to <https://iupdate.dnb.com/iUpdate/viewiUpdateHome.htm>

To REGISTER a DUNS Number, go to <https://www.sam.gov/portal/SAM/##11>

6. Complete the Online Application

NMHC accepts online applications only. If you are a first time applicant, you will be prompted to register. When you first register with our site, you do not immediately create a password. You begin by just entering your valid and active email address. To confirm the validity of your email address, we send you an email containing an activation link. After clicking the link, you can then create a password. At that point, you will can sign into our website and work on your application.

To register and begin your application, go to <http://nmhum.org/grants/application/>

Consultation and Application Deadlines

Regular Grants

Draft & Consultation Deadline	Application Deadline	Earliest Date Program Can Begin
January 10	February 1	May 1
September 10	October 1	January 1

Mini Grants

NMHC is evaluating the mini-grant program and will not be accepting mini-grant applications this year. Please apply under the Regular Grant deadlines to seek support and apply for your public humanities programming. Stay tuned for further developments in our grant program.

Budget Instructions

INDICATE ALL PROJECTED INCOME AND EXPENDITURES FOR YOUR PROJECT*

***Clarity is very important in your budget:** It should be clear how the cost was computed, why the cost is incurred, and how you propose to meet this cost.

Matching/Cost Share Columns

Applicants must pledge funds from other sources that at least equal the amount requested from NMHC. Cost sharing can come from:

- **In-kind donations** to the project from the sponsoring organization(s), or other individuals or organizations, consisting of goods, services, or volunteered time. Volunteer services should be valued at rates consistent with those ordinarily paid for similar work.
- **Cash contributions** from outside sources, known as third parties.
- **Cash contributions** from the project's sponsoring organization(s).
- **Project income** directly generated from activities or events NMHC is asked to support. This must be reported on the budget summary form and used to defray project costs.

If you match with cash contributions from third party sources, NMHC welcomes that indication of broad support for your project. If funded, you will be asked to document all such gifts by supplying a copy of an award or donor letter. Please photocopy checks and award letters when you receive them from third-party sources.

Funds Requested Column

In this column you will find four possible types of expenditures that NMHC can fund: services and supplies, publicity, travel, and honoraria.

- I. **Services and Supplies.** You may include in this category the normal expenditures for support for a project. If you wish to list something under "other," check with staff to make sure that the service is allowable. For example, a fee for the services of a videographer may not be allowable, given the limitations on funding video production.
- II. **Publicity.** Good publicity is essential to draw a wide audience. You may include here the cost of advertising, production of flyers and posters, and distribution of press releases and announcements. You may count public service announcements (psa) as a cost-share item, but check with the broadcaster for the usual advertisement costs in order to figure the market value of a psa.
- III. **Travel**
 - Commercial travel (airplane, bus, or rail) must be figured at economy or coach rate. Also, note that all air travel paid with grant funds must be on U.S. air carriers.
 - Mileage allowance: \$.375 per mile.
 - Per diem allowance: only up to \$70 per night for lodging and \$25 per day for meals (\$5 for breakfast, \$8 for lunch, \$12 for dinner). NMHC will generally fund meals only if an overnight stay is required. Applicants may budget for higher rates for travel and per

diem costs, provided the difference between NMHC and budgeted rates comes from other sources (third party or sponsor's cash or in-kind donations).

- IV. Honoraria.** NMHC funds requested for personnel participating in the project should be "honoraria" (token payments) rather than salaries. Because of its limited resources, NMHC cannot compensate project participants for the full value of their time or services on a project. In particular, NMHC cannot fund requests for an individual's salary for the duration of a project. NMHC will pay up to \$350 per speaker in honoraria for a single public event.*

***Please note:** Applicants may budget for personnel costs at a higher rate than NMHC allows, provided that the difference between the budgeted rate and an honorarium comes from other funding sources. Except for single, one-time honorarium payments, personnel costs must be figured on the basis of an appropriate hourly wage for the person being paid out of NMHC funds.

Application Rating Sheet

Use the NMHC Application Rating Sheet to review your work. This form is used by NMHC staff and board to review applications and is a good tool to evaluate it for yourself and decide if revisions are needed before submission. Allow adequate time to consult with NMHC staff if you still have questions or concerns about your proposal.

Assign scores 0-5 (5 being the highest)

SECTION I: HUMANITIES

1. Is the proposal consistent with the mission and goals of the NMHC?
2. Is the project well-defined? Are the goals stated clearly?
3. Are the goals appropriate, achievable, realistic?
4. Does the project focus substantially on one or more humanities disciplines?
5. Does the project address an uncommon or innovative topic?
6. Is/Are the location(s) described adequately?

SECTION II: PROPOSAL

7. Does the proposed program aim at a balanced presentation and broad public understanding?
8. Is the proposal well-written? Strong, concise, understandable, complete?
9. Does topic of the project consider multiple viewpoints/voices?

SECTION III: PRINCIPALS

10. Does the applicant demonstrate sound planning and effective programming?
11. Did the applicant seek consultation from NMHC staff?
12. Is/Are the scholars qualified/competent?
13. Is/Are the scholars involved in the planning?
14. Does the proposal clearly describe the role of each scholar?

SECTION IV: AUDIENCE

15. Is the project aimed at underserved communities?
16. Does the project aim at a balanced presentation and broad public understanding?
17. Does it avoid advocacy, bias, and calls for direct action?
18. Is there adequate Q&A and audience interaction planned?
19. Is the program accessible to the public?

SECTION V: BUDGET

20. Is the requested budget understandable?
21. Is the requested budget reasonable? Does it clearly explain proposed expenditures? and the sources of funds?
22. Has the applicant provided evidence of cost sharing?

SECTION VI: PROMOTION

23. Is there a strong publicity plan described?

SECTION VII: EVALUATION

24. Does the proposal describe the evaluation criteria adequately?
25. Is/Are the evaluators well-informed and competent?

Application Checklist

*Please check the following **before** you submit your application:*

Requirements

- Be in good standing with NMHC. For example, prior grantees submitted a final report and closed the previous grant.
- Your organization has a federal tax ID and D-U-N-S (DUNS) number.
- You scheduled and completed a consultation with NMHC staff.
- A draft application has been submitted. This must be done before submitting your final application online or it will not be considered.
- All required signatures have been acquired.

Details

- Did you respect section word count limits?
- Did you complete the scholar forms for the project director (s), evaluator(s) and scholars and have them electronically sign their forms?

Budget

- Does your budget clearly illustrate how you plan to allocate NMHC funds and any additional resources (cash or in-kind) needed to implement your project?
- Does the promised cost-share at least equal NMHC funds requested?
- Is the source and use of anticipated project income, if any, explained?

Completeness

- From the online application, be sure to print a copy of your application from the PDF tab for your own records.

Instructions for Certification

General Requirements

The New Mexico Humanities Council (NMHC) is required to seek from institutional applicants a certification regarding the nondiscrimination statutes and from all applicants certifications regarding debarment and suspension, and federal debt status.

By signing and submitting a proposal, the individual applicant or the authorizing official of the applicant institution provides the applicable certifications. When a prospective applicant is unable to certify regarding the nondiscrimination statutes, the prospective applicant is not eligible to apply for funding from NMHC. When the applicant is unable to certify regarding debarment and suspension or federal debt status the applicant shall attach an explanation to the proposal. The explanation of why the certification on debarment and suspension cannot be submitted will be considered in connection with NMHC's funding determination. Failure to furnish a certification or an explanation shall disqualify the applicant from receiving an award from NMHC.

The certifications are material representations of fact upon which reliance will be placed when NMHC determines to fund the application. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with requirements, in addition to other remedies available to the federal government, the National Endowment for the Humanities or NMHC may seek judicial enforcement of the certification (nondiscrimination statutes) or may terminate the award for cause or default (debarment and suspension or federal debt status).

The applicant shall provide immediate written notice to NMHC if at any time the applicant learns that its verifications were erroneous when submitted or have become erroneous by reason of changed circumstances.

Nondiscrimination Statutes

The certification regarding the nondiscrimination statutes shall obligate the applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with NMHC's assistance, this certification shall obligate the applicant for the period during which it retains ownership or possession of that property. If any real property or structure is improved with NMHC's support, this certification shall oblige the applicant or any transferee for as long as the property or structure is used for the grant or similar purposes. This certification is binding on the applicant, its successors, transferees, and assignees, and on the authorizing official whose signature appears on the application cover sheet for this proposal.

Grantees are also required to evaluate their policies and practices toward the handicapped and grantee organizations which employ fifteen or more persons must keep on file a list of the interested persons that were consulted and a description of the areas that were examined, the problems identified, and any modifications or remedial steps taken.

Certification

The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations:

- a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d *et. seq.*) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives federal financial assistance.
- b) Section 503 of the Rehabilitation Act of 1973, as amended (20 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance.

c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 *et. seq.*), which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance.

d) The Age Discrimination Act of 1975, as amended (42 U.S.C. 6106 *et. seq.*) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or the achievement of any statutory objective of the project or activity shall not violate this statute.

Federal Debt Status

If any applicant is unable to certify regarding federal debt status, an explanation must be submitted with the proposal.

Certification

The applicant certifies, to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

Debarment and Suspension

The applicant agrees by submitting this proposal that, should the proposal be funded by NMHC, it shall not knowingly enter into any project-related transactions (as defined under lower tier covered transactions) with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by NMHC.

The applicant further agrees by submitting this proposal to include without modification the following clauses in all lower tier covered transaction and in all solicitations for lower tier covered transactions:

- 1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- 2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

A grantee may rely on the certification of a prospective subrecipient that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A grantee may decide on the method and frequency by which it determines the eligibility of its principals. Except when specifically authorized by NMHC, if the participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to the other remedies available to the federal government, NMHC may terminate this transaction for cause or default.

Certification

The applicant certifies to the best of its knowledge and belief that it and its principals:

- a) are not currently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transaction by any federal department or agency;
- b) have not within a three-year period preceding this proposal been convicted or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or statute antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- c) are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification;
- d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, local) terminated for cause or default.

DEFINITIONS

The following definitions refer to the terms used in the certifications regarding the nondiscrimination statutes, federal debt status, and debarment and suspension.

Covered transaction: A covered transaction is either a primary covered transaction or a lower tier covered transaction.

Debarment: An action taken by a debarring official in accordance with 45 CFR Part 1169 to exclude a person from participating in covered transactions. A person so excluded is debarred.

Delinquent: Represents the failure to pay an obligation or debt by the date specified in the agency's initial written notification or applicable contractual agreement, unless other satisfactory payment arrangements have been made by that date, or if at any time thereafter, the debtor fails to satisfy the obligation under a payment agreement with the agency.

Federal debt: The amount of money or property that has been determined by an appropriate agency official to be owed to the United States by any person, organization, or entity. Examples of debts include delinquent taxes, audit disallowances, guaranteed and direct student loans, housing loans, farm loans, business loans, Department of Education institutional loans, benefit overpayments, and other miscellaneous administrative debts.

Ineligible: Excluded from participation in federal nonprocurement programs pursuant to a determination of ineligibility under statutory, executive order, or regulatory authority, other than Executive Order 12549.

Lower tier covered transaction:

- a) Any transaction between a participant and a person other than a procurement contract for goods and services, regardless of type, under a primary covered transaction.
- b) Any procurement contract for goods and services between a participant and a person, regardless of type, excepted to equal or exceed the federal procurement small purchase threshold fixed at 10 U.S.C. 2304(g) and 41 U.S.C. 253(g) (currently \$25,000 USD) under a primary covered transaction.
- c) Any procurement contract for goods or services between a participant and a person under a covered transaction, regardless of amount, under which that person will have a critical influence on or substantive control over that covered transaction. Such persons are project directors, principal investigators, and providers of federally required audit services.

Participant: Any person who submits a proposal for, enters into, or reasonably may be expected to enter into a covered transaction. This term also includes any person who acts on behalf of or is authorized to commit a participant in a covered transaction as an agent or representative of another participant.

Person: Any individual, corporation, partnership, association, unit of government, or legal entity, however organized, except foreign governments or foreign governmental entities, public international organization, or foreign government-owned or controlled entities.

Primary covered transaction: This is normally any nonprocurement transaction between an agency and a person, regardless of type, including grants, cooperative agreements, scholarships, fellowships, contracts of assistance, loans, loan guarantees, subsidies, insurance payments for specified use, donation agreements, and any other nonprocurement transaction between a federal agency and a person.

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

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

Suspension: An action taken by a suspending official in accordance with these regulations that immediately excludes a person from participating in covered transactions for a temporary period, pending completion of an investigation and such legal, debarment, or Program Fraud Civil Remedies Act proceeding as may ensue. **Voluntarily excluded:** The status or non-participation or limited participation in covered transactions assumed by a person pursuant to the terms of a settlement.