



## THE HENRY LUCE FOUNDATION

### LUCE INITIATIVE ON SOUTHEAST ASIA Application Guidelines for Round Four (2021-2022)

#### *Introduction*

The Luce Initiative on Southeast Asia (LuceSEA) is a multi-year grants competition approved by the Henry Luce Foundation's Directors in June 2018. LuceSEA is administered by the Foundation's Asia Program. The broad goal of LuceSEA is to strengthen the study of Southeast Asia in institutions of higher learning in the United States and in Southeast Asia by providing resources for the creation of models, strategies and partnerships that not only bolster existing program structures but also take them in new directions, contributing in the process to both institution and field building.

LuceSEA aims to encourage innovation in the study of Southeast Asia through support for

- work in new and emerging areas of inquiry;
- the enhancement of scholarly infrastructure for teaching and research relevant to Southeast Asia; and
- collaborations and networks that link academic centers to each other and with partners outside academia, and that expand engagement between American and Southeast Asian scholars and institutions.

Within American philanthropic circles, the Luce Foundation is unique in its longstanding support for Southeast Asian studies. It is an appropriate moment for the Foundation to reinvest in the field, to ensure that it remains vibrant and relevant.

#### *Eligibility*

In Round Four, LuceSEA is open to doctoral degree-granting universities in the United States, including but not limited to universities that house the Title VI-funded National Resource Centers for Southeast Asian studies, and to U.S.-based organizations that support relevant scholarly activity. Consideration will be given to institutions with existing strength in teaching and research on Southeast Asia as well as to institutions with plans to grow programs already under development. Institutions seeking funds to establish new programs will not be considered. Applicants must demonstrate evidence of existing engagement with the region.

LuceSEA also welcomes proposals from academic and research institutions in Southeast Asia that conform to LuceSEA guidelines (see page 6), provided that proposed activities include collaboration with at least one U.S.-based institution.

While institutions that do not meet the eligibility criteria described above may not serve as lead applicant in a proposal, they may participate in LuceSEA by partnering with an eligible institution.

## ***Program Scope and Goals***

For the purposes of this initiative, Southeast Asia (SEA) is defined as the region encompassing Brunei, Cambodia, Timor-Leste, Indonesia, Laos, Malaysia, Myanmar, the Philippines, Singapore, Thailand and Vietnam.

LuceSEA aims to strengthen the study of SEA by providing resources for the creation of models, strategies and partnerships that both bolster existing program structures and take them in new directions, contributing in the process to both institution and field building in higher education in the United States and in Southeast Asia. The initiative's three primary emphases are innovation, scholarly infrastructure and collaboration.

Innovation: In response to changes within higher education and the world brought about by globalization, climate change, the digital revolution, demographic and generational shifts, and the COVID-19 pandemic, scholars of SEA are reexamining the conventional area studies model, traditionally focused on a specific geography and based primarily within the humanities and qualitative social sciences, and envisioning new approaches to the way people are trained and research is conducted in order to address contemporary realities. They express the desire for a wider scope within which to work and border crossings of all kinds, including geographic, disciplinary, institutional and sectoral. LuceSEA seeks to catalyze compelling intellectual and institutional responses to this changing landscape through support for SEA-focused initiatives that are experimental, cross-disciplinary and collaborative, including, but not limited to, work in the arts, digital humanities, economic history, environmental studies, migration and refugee studies, public health, urban studies, and science, technology and society. In Round Four, we will give particular attention to projects that make linkages between Southeast Asian, Asian American and Asian diasporic studies; explore transnational connections such as the Transpacific or the Indian Ocean World; and provide training designed to prepare new generations for work of relevance to SEA in academic and non-academic sectors.

Scholarly Infrastructure: While innovation and branching out is encouraged, effective work on and in Southeast Asia depends on deep and contextualized knowledge of the region, and thus requires continued attention to core scholarly infrastructure, including training in the languages, cultures and histories of particular places as well as the development of resources to support teaching and research. LuceSEA recognizes the centrality of this ongoing need and will support new strategies for the reinforcement and enhancement of scholarly infrastructure to develop expertise and resources on SEA.

The emphasis on innovation and scholarly infrastructure outlined above was informed by the Asia Program's process of evaluation, research and consultation with experts in the field, and by learning from grants that have advanced new initiatives and tested new modes of interaction. Our experience reveals that there is no clear dividing line between projects that aim to rethink, widen and deepen the scope of what constitutes the study of Southeast Asia while also keeping core infrastructure healthy and resilient. LuceSEA is designed to accomplish both.

Collaborations and Networks: Today's challenges and opportunities call for partnerships and resource sharing, particularly at a time when institutions are facing financial constraints. LuceSEA invites applicants to envision new configurations, alignments, networks and strategies for coordinating training and the production of knowledge relevant to SEA that both enrich and reach beyond the conventional area studies framework, and contribute not only to the growth of individual institutional programs but also to the overall strengthening of Southeast Asian studies. Applicants are encouraged to include an element of collaboration in proposals. "Collaboration" is defined broadly to encompass intra-campus or multi-institutional work, or both, across disciplines, departments and administrative divisions. It can involve partnerships in the United States and/or SEA and other parts of the world, between academic institutions, including community colleges and liberal arts colleges, as well as with non-academic constituencies including media, policy, activist and arts communities. It is important that collaborations encompass the values of respect and mutual benefit and provide appropriate compensation for all partners and participants.

### **Grants**

The LuceSEA competition was approved by the Foundation's Directors to take place annually over at least five years, with a target of \$3 million available for each annual round of competition.

The Foundation anticipates awarding three to six grants per round. The actual number and size of approved grants will depend on the quality of the proposals received and the resources available to the Asia Program. The size of a request should be appropriate to the institutional capacity of the applicant. All requests, regardless of their size, will be given equal consideration. To be competitive for a grant in the \$1 million range, an application should include all three elements of LuceSEA emphasis (innovation, scholarly infrastructure and collaboration).

Grants will typically fund projects that can be completed within three to five years.

Grants may fund a wide range of possible activities, including, but not limited to:

- Seed funding for faculty positions
- Student scholarships and fellowships, including for language training
- Visiting scholars and other types of exchange
- Curriculum development
- Research (including collaborative research) and travel
- Field schools and other field-based activities
- Community engagement and community-based research
- Public-facing work
- Convenings, including conferences, seminars and workshops
- Development and dissemination of library, archival, research and pedagogical resources, including digital resources
- Project management
- Evaluation of grant-supported activities

Grants are intended to complement, not to duplicate or replace, existing sources of support, including Title VI funding for those that receive it.

Please also see *Additional Information for Applicants* below.

### ***Applications***

The application is a two-stage process—letter of inquiry (LOI) and full proposal (Proposal)—with submission at each stage made through the Foundation’s online portal (<https://www.hluce.org/programs/asia/grant-categories/luce-initiative-southeast-asia/>).

**Before applying through our online portal, please read all of the information in the General Foundation Guidelines** (<https://www.hluce.org/programs/asia/inquiries-guidelines/>) **in addition to these LuceSEA Application Guidelines.** Following LOI review, which may include a site visit or online meeting, the Foundation will notify invited institutions to submit Proposals through the online portal, with additional instructions provided at that time.

Applications must address at least one of the three elements of LuceSEA emphasis (innovation, scholarly infrastructure, collaboration). To be competitive for a grant in the \$1 million range, the project should encompass all three elements of LuceSEA emphasis, and the applicant must demonstrate in the LOI that substantial planning toward proposed activities has already taken place and institutional commitments are firm.

An institution may only submit one application per round of competition. However, an institution that serves as the sponsor for an entity without separate legal status (such as, for example, SEASSI or CORMOSEA) may in the same or a different round submit an application on its own behalf and a separate application on behalf of the sponsored entity. Subject to this exception, only one grant per institution will be awarded during the initial five-year life of LuceSEA. Please note that a grant recipient may participate as a partner on a project initiated and administered by another applicant institution.

### ***Additional Information for Applicants***

Time Frame and Scope: Proposed projects may cover pre-historic to contemporary periods. Projects may focus on one or more countries, peoples or cultures within SEA, or on topics that are regional or cross-border in nature.

Faculty positions: Grant funds can be applied toward a new tenured or tenure-track faculty position. The faculty position can be in any field or discipline, including language teaching, and can include comparative, interdisciplinary and/or transnational approaches but must be grounded in SEA and involve significant teaching and research with relevance to SEA.

The maximum amount of a grant available to cover salary, benefits and funds for research and travel for a faculty position will be \$600,000, for up to a five-year period. Grant funds may not be used to endow a faculty position. Proposals must include evidence of institutional commitment to the position in the form of letters of support from senior administrators and department chairs, and a commitment by the institution to continue funding for the line after conclusion of the grant.

Proposals should include a job description, demonstrate that a suitable pool of candidates exists, and describe how the hire would be integrated with the institution's long-term vision for SEA-focused work. If the position will be a joint appointment, the Proposal should include a plan on how responsibilities will be divided between departments so as not to overly burden a junior hire.

Visiting Scholars: Proposals may request support for visiting scholars (from SEA to the U.S. or vice versa), including young faculty and recent PhDs, to foster exchange and bring in new expertise and perspectives for teaching and/or research. The Proposal should explain how the addition of the visiting scholar will enhance the program being proposed, and should include a plan for integrating the visitor into the institution's SEA-focused activities.

Student Engagement: Applicants are encouraged to incentivize student engagement and training at undergraduate and graduate levels in order to attract and cultivate next-generation leaders who are conversant with SEA and well-qualified to pursue careers in academic and non-academic fields and to advocate for strong relations between the United States and the countries of the region.

Language: LuceSEA welcomes applications that enhance instruction in Southeast Asian languages. Grant funds may be used, for example, to incentivize language study or offer additional levels of instruction, or for professional development for language instructors. They may supplement the salary and benefits of a language instructor position, provided the institution commits to continuing the position following the grant's conclusion. Proposed uses of grant funds should reinforce and complement, and may not replace, existing funding for language training available from Title VI and other sources. In keeping with LuceSEA emphases, priority will be given to requests that propose innovative approaches and collaborative strategies for SEA language instruction.

Institutional Commitment: Proposals must include evidence of institutional commitment in the form of letters of endorsement from senior administrators including, as appropriate, relevant department chairs and division heads. In the context of universities in particular, conducting collaborative and cross-disciplinary work within existing institutional structures can be challenging and requires administrative support at all levels, from president to department chairs. Grants will provide funding to help catalyze this work and support creative solutions to structural challenges. Applicants must address how proposed activities will align with the institution's strategic plan and long-term vision for SEA-focused work; how the project will align with the academic structure, including the institutional reward and promotion system; how the project will be evaluated; and how supported work will be institutionalized and sustained beyond the life of the grant. "Sustainability" beyond the grant can take a variety of forms, from the commitment to permanency of a new faculty position, to evidence of curricular change, to the creation of scholarly and pedagogical resources, to training efforts that will be carried forward in the lives and careers of students.

Although there are no formal matching requirements, the Foundation will give priority to institutions that provide financial and in-kind cost-share for the proposed activities. Evidence of institutional commitment might include, but is not limited to, course release and/or summer salary for participating faculty; teaching credit for co-taught courses; support for or subsidy of student tuition; the provision of graduate student fellowships; allowance of cross-

registration and transfer of credit for students from collaborating institutions; ongoing commitment to language teaching positions; and the provision of office space for visiting scholars. The Foundation also welcomes evidence of support from other external sources.

COVID-19: The world continues to confront a changed landscape due to the COVID-19 pandemic and concurrent social and economic crises. Institutions are being called upon to devote significant attention to the resulting challenges and concerns, and to crafting necessary responses. The extent to which faculty and students are able to engage in in-person activity remains uneven. Travel restrictions and quarantines are likely to remain in place into 2022. Until a vaccine is readily available worldwide and the novel coronavirus is brought under greater control, these and other uncertainties will place additional demands on faculty and staff and limit the types of activities that can be proposed. They may also have an impact on the institutional commitments needed to support and sustain the work.

Proposals should address how you will respond to the pandemic both in terms of the content, timing, logistics and feasibility of proposed activities and of the firmness of the financial and other commitments available from your institution and any project partners.

Values: The Foundation seeks to advocate for and advance equity, diversity, inclusion and access in the communities and institutions we support, as well as in our own organization. We believe that the purposeful support of diverse perspectives and voices contributes to enriched public discourse; that scholarship is more innovative and can best address complex problems when knowledge creation reflects diverse lived experiences and talents; and that international understanding is enhanced by valuing and striving to understand both similarities and differences.

The Proposal should address the values you and your institution will carry into the proposed work, including with respect to equity, diversity, inclusion and access, and how these values will be reflected in the project.

Indirect Costs: A maximum of ten percent of direct costs is allowed for indirect costs, which must be included within the total amount requested from the Foundation. The Foundation welcomes reduction or waiver of indirect costs as evidence of institutional commitment.

Evaluation: Proposals should include an evaluation plan detailing (1) baseline factors relevant to the goals of the project at the time of the application; (2) a discussion of how the proposed activities are expected to advance the project goals and effect change; and (3) a description of how change will be tracked/measured, including identification of benchmarks of progress. Proposals may include a request of up to four percent of the total budget for evaluation purposes. At the time of the award, grant recipients may also be asked by the Foundation to track specific data items.

Additional Eligibility Requirement for Applicants from SEA: The Foundation may only make grants to institutions located outside the United States that are able demonstrate non-profit status acceptable to the U.S. Internal Revenue Service. NGOsource (<http://www.ngosource.org/>), an organization with which we work, can assist an applicant from Southeast Asia determine whether it meets the requirements necessary for certification of such non-profit status. Following the LOI review stage, the Foundation will inform SEA

applicants invited to submit a Proposal about the steps required to obtain certification from NGOSource. Please Note: This certification is only required for Southeast Asian institutions applying directly to the Foundation for a grant; it is not required for Southeast Asian institutions participating in a project as the partner of a U.S. or SEA institution that serves as the lead applicant.

A Closing Note on the Guidelines: The Foundation hopes LuceSEA will elicit a broad range of ideas and approaches. The examples set forth in these guidelines are for illustrative purposes only and are not intended to be overly prescriptive.

### ***Application Calendar***

<b>Friday, August 20, 2021</b>	Application portal open for LOI submissions (9 AM EST)
<b>Friday, September 24, 2021</b>	Deadline for submission of LOIs online (by 11:59 PM EST)
<b>Friday, October 15, 2021</b>	Invitation of full Proposals
<b>Friday, January 28, 2022</b>	Deadline for invited institutions to submit Proposals online (by 11:59 PM EST)
<b>June 2022</b>	Round Four Awards announced

### ***Review Process and Selection Criteria***

Proposals will be evaluated by a committee of advisors with relevant expertise who will make recommendations to the Foundation. The Foundation will make the final determination on awards.

Projects will be judged on the basis of intellectual quality, creativity, feasibility and evidence of institutional commitment. In addition, the decisions of the advisory committee and the Foundation will be guided by: (1) a project's ability to address the goals of the initiative; (2) the relationship of proposed activities to one or more of the three major LuceSEA emphases; (3) the strength of the Proposal's articulation of project goals and methodology; and (4) the potential for the impact of supported work beyond the life of the grant.

For questions or additional information, please contact:

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