

NATIONAL ENDOWMENT FOR THE  
**HUMANITIES**



# International Research Organizations

DIVISION OF RESEARCH PROGRAMS

Application Deadline:  
October 1, 1994

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International Research Organizations  
National Endowment for the Humanities  
Room 318  
Washington, DC 20506  
Telephone: 202/606-8359  
FAX: 202/606-8204  
INTERNET: NEHRES@GWUVM.GWU.EDU  
(NEH will not accept applications  
sent via FAX machine or electronic mail.)

### **TIMETABLE**

|                                     |   |
|-------------------------------------|---|
| <b>August 1</b>                     | Date by which applicants desiring<br>NEH staff comment should send draft<br>proposals |
| <b>October 1</b>                    | Postmark deadline for sending formal<br>applications to the Endowment                 |
| <b>June, the following<br/>year</b> | Notification of awards  |
| <b>July 1</b>                       | Earliest suggested starting date for<br>grant period                                  |

### **APPLICATION CHECKLIST**

The application should consist of the following:

- 1. Twelve copies of the application package, each copy including,  
in the following order:
  - a) NEH Application Cover Sheet (one copy with the original  
signature of the authorizing official)
  - b) Table of Contents
  - c) Narrative Description (limited to twenty-five or fewer  
double-spaced pages)
  - d) Proposed Budget
  - e) Appendices
  - f) Statement of History of Grants
- 2. Three additional copies of the application cover sheet.

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## GENERAL INFORMATION

### **The National Endowment for the Humanities**

"Democracy demands wisdom and vision in its citizens"

--National Foundation on the Arts and the Humanities Act of 1965

In order "to promote progress and scholarship in the humanities and the arts in the United States," Congress enacted the National Foundation on the Arts and the Humanities Act of 1965. This act established the National Endowment for the Humanities as an independent grant-making agency of the federal government to support research, education, and public programs in the humanities. Program grants are made through six divisions--Education Programs, Fellowships and Seminars, Preservation and Access, Public Programs, Research Programs, and State Programs. Challenge Grants are made through the divisions of Education Programs, Public Programs, and Research Programs.

### **The 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."

Work in the creative or performing arts--such as the writing of fiction or poetry, painting, sculpting, composing or performing music, acting, directing, and dance--is not eligible for support by the National Endowment for the Humanities. Persons interested in support in these areas should write or call the National Endowment for the Arts. Critical, historical, and theoretical studies of the arts, however, are eligible for NEH support.

## Presidential Directives

The National Endowment for the Humanities participates in two government-wide Presidential Directives. Executive Order 12677 was promulgated in 1989 in order to help strengthen and ensure the long-term viability of the nation's Historically Black Colleges and Universities, and Executive Order 12729 was issued by the White House on behalf of educational excellence for Hispanic Americans. The NEH encourages applications that respond to these Presidential Directives.

## INTERNATIONAL RESEARCH ORGANIZATIONS

This program makes grants in support of fellowship programs and other research grant programs administered by national organizations, learned societies, and American overseas research centers that have expertise in the promotion of research on foreign cultures. The fellowships and research grants awarded by each organization enable American scholars to pursue research abroad and collaborate with foreign colleagues. In assessing an application from an international research organization, the Endowment emphasizes the intrinsic importance of the organization's programs to the advancement of thought and knowledge in the humanities, the quality of the research previously supported by the organization and the productivity of its grantees, the effectiveness of the administration of the programs, and the openness and equity of the application procedures.

Individual scholars interested in applying to any of the international research organizations receiving Endowment support should write to the organizations themselves. A list of currently funded international research organizations and centers for advanced study is available from the Endowment on request.

### **Eligibility**

Only United States organizations, societies, and overseas research centers that are constituted for nonprofit purposes; have been declared tax-exempt by the U.S. Internal Revenue Service; and are financed, governed, and administered independently of institutions of higher education are eligible to be funded by the International Research Organizations program. Because the purpose of the Endowment's

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support is to enhance existing research grant programs, eligibility is limited to institutions that have established and maintained research grant programs with their own or other private funding.

By accepting an Endowment award, a grantee certifies that it meets all these criteria for eligibility. Should the Endowment determine subsequent to making an award that the recipient is not eligible to receive Endowment funding, the grant will be terminated, and the grantee will be required to return any grant funds it has received.

All applicants are encouraged to correspond with program staff early in their planning about questions of eligibility.

## **What the International Research Organizations Program Does Not Support**

The International Research Organizations program does *not* provide support for fellowships or research grants for

research undertaken in the pursuit of an academic degree;

the preparation of textbooks;

projects that focus on pedagogical theory, research in educational methods, tests, and measurements, or cognitive psychology;

projects that are directed at persuading an audience to a particular political, philosophical, religious, or ideological point of view, or that advocate a particular program of social action or change, and projects that examine controversial issues without taking into account competing perspectives.

## **Conditions Governing International Research Organizations Grants**

### **1. Eligibility for NEH Research Awards Through International Research Organizations**

Persons seeking support for work in pursuit of a degree are not eligible for NEH research grants through the International Research Organizations program. Foreign nationals are not eligible to apply unless they have lived in the United States for the three years immediately preceding the application deadline for the grant. NEH-supported organizations

must give all eligible applicants equal consideration; they may not restrict applications to members of a scholarly organization or to persons affiliated with institutional members of a scholarly organization. They may not require an administrative or application fee. They may not accept applications from any officer, employee, member of the board of trustees or advisers, selection committee member, or officer, employee, or board member of a parent organization until at least one year has elapsed since the person's last service in such a position.

### **2. Publicity**

NEH-funded organizations should publicize the availability of NEH research grants and their application procedures clearly and effectively so that all qualified potential applicants may learn of the full range of grant opportunities.

### **3. Selection Procedures**

Each organization should ensure fair and informed selection of recipients of NEH funds. Staff, officers, board members, and trustees of the organizations may not serve as voting members on committees that select NEH grantees. The same restrictions apply to staff, officers, and trustees of umbrella organizations.

### **4. Stipends**

Stipends and allowances for recipients of NEH funds are determined in accordance with an organization's usual practices, although the maximum amount that may be awarded to an individual from NEH funds is \$30,000. The maximum stipend of \$30,000 is applicable to any six- to twelve-month period; research grants of four months in length may carry a maximum stipend of \$20,000, and five-month awards a maximum of \$25,000. An organization may supplement the stipend from its own funds, but in no case may the total amount that an individual receives exceed his or her salary for the portion of the academic or calendar year equivalent to the tenure period of the award, except for customary allowances for travel and other research expenses.

### **5. Other Benefits and Services to NEH-funded Scholars**

Organizations must grant recipients of NEH funds all benefits, services, and accommodations normally accorded other grantees.

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## 6. Reports on the Selection Process

After the completion of each competition and the award of research grants, the organization must provide the Endowment with a full report on its competition, from publicity campaign to selection of grantees. In particular, the organization must provide:

- a) copies of printed material used to publicize the availability of research grants in the humanities;
- b) a description of the audience at which the publicity was aimed and a list of the journals, newsletters, institutions, and organizations to which publicity materials were sent;
- c) a detailed account of the procedures used to select grant recipients, including the names, institutions, and fields of the people who reviewed the applications; and instructions and criteria of selection supplied to reviewers;
- d) a list of the NEH grantees selected, annotated with their fields or departments, institutions, a brief description of their projects, and the country or countries in which they will be conducting their research; and full applications, including résumés and project proposals and indicating tenure periods and stipend amounts;
- e) a comparative statistical analysis of the NEH grantees and the group of applicants eligible for NEH awards by field, type of institution, academic rank, and geographical distribution; and numbers of applications and awards made overall in the organization's competitions;
- f) a comparison of the grantees and eligible applicants in each separate grant category with the previous year's grantees and eligible applicants, program by program, and an analysis of any discernible statistical trends in recent years or sudden changes from the previous year.

## 7. Acknowledgment of Endowment Support

Organizations are expected to include an acknowledgment of the support of the National Endowment for the Humanities in all its publications that result from or pertain to the use of NEH grant funds. This requirement includes materials prepared

by the organization to advertise the availability of research grants, materials that describe the procedures for the selection of grantees, announcements of grantees selected, and reports on the substantive work accomplished by NEH grantees. Persons supported in whole or in part by NEH funds must be so identified, even when other sources of funding are involved, and must be informed that their work is being supported by the National Endowment for the Humanities. In addition, organizations are expected to insure that all scholarly articles, books, and other publications resulting from work conducted by recipients of NEH awards through the organization contain an acknowledgment of NEH support.

## 8. Publications by Recipients of NEH Awards

An organization should list in its annual reports to NEH all books, articles, and monographs appearing during the year being reported that were prepared by NEH grantees supported under the current grant or previous grants and should provide NEH's Division of Research Programs, unless otherwise advised, with one copy of all such books, articles, and monographs.

## 9. Responsibilities of Recipients of NEH Funds through International Research Organizations

Recipients of long-term fellowships or research grants (four to twelve months) must devote full time to their research projects and may not accept teaching assignments or undertake any other major activities during the tenure of their award. In addition, these scholars must submit final reports on their activities and accomplishments to NEH's Division of Research Programs. Recipients of NEH funds should also see that all scholarly articles, books, and other publications resulting from research supported by their awards contain an acknowledgment of NEH support.

## The Review Process

Each application to the National Endowment for the Humanities is carefully assessed by knowledgeable persons outside the Endowment who are asked for their judgments about the quality and significance of the proposed project. About 1,100 scholars, professionals in the humanities, and other experts serve on approximately 200 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. The judgment of panelists in the International Research Organizations program normally is supplemented by individual site visit

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reports and reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the applications under review. The questions listed in the following section are the criteria used in the evaluation.

The advice of the panels, site visitors, or outside reviewers is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then presented to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate, which advises the Chairman of the Endowment. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, takes into account the advice provided by this review process and, by law, makes the final decision about funding.

### **Questions for the Review of Applications**

- o How important to the advancement of thought and knowledge in the humanities are the grant programs for which funding is being requested? To what extent do they meet a need that is not met in any other way ?
- o How strong is the applicant organization's previous record in sponsoring these programs? Have those to whom the organization has granted funds been productive? Have their scholarly contributions been important and high in quality?
- o How effective are the direction and administration of the programs?
- o How sound and practical are the organization's procedures for attracting applications? How effective is the publicity for the competition for research grants?
- o How expert and equitable is the process of selecting grant recipients?
- o What are the quality and scope of any research collections, facilities, services, or other resources that the applicant organization provides to the grantees for

their work? In the case of residential programs, how effective are the organization's efforts to encourage intellectual exchange among grantees and local scholars?

- o Is the proposed budget request well justified?
- o Are there any changes in the programs or in the procedures for administering them that should be recommended?

### **Preliminary Proposal**

At least two months before the October 1 application deadline, organizations planning to apply are urged to submit a draft of the narrative and budget sections and the appendices of the proposal. This preliminary step will permit the staff of the Endowment to assess eligibility, advise on the preparation of the application, call or write the applicant about the proposal, and, if appropriate, arrange a site visit to take place after the formal application has been submitted. Staff responses to preliminary proposals are not a part of the formal review process, which normally begins with a site visit.

### **APPLICATION INSTRUCTIONS**

The application should include the following parts: a cover sheet, a table of contents, a narrative description of the organization's program or programs, a budget, appendices (including résumés, which may be provided in any format but should include pertinent information concerning an individual's education, experience, and other qualifications), and a statement of the history of any federal grants received by the organization. Forms for the cover sheet and the history of grants are enclosed.

### **General Advice**

All applications to the Endowment should present, in a clear, coherent manner, a sound intellectual justification for the proposal and an appropriate plan of work. Successful applications are usually free of jargon, clichés, pedantry, unsubstantiated claims, unnecessary repetition, and imprecise prose. Titles of projects should be brief, descriptive, and substantive. Proposal narratives should be limited to twenty-five

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or fewer double-spaced pages, with appendices used to provide appropriate illustrative material. Résumés should be concise and current.

Prospective applicants are advised to review carefully the list of questions (see page 6) that evaluators of International Research Organizations applications are asked to address. The issues raised in those questions should be addressed in the appropriate sections of the proposal. Applicants also are advised that it is preferable to follow the format outlined below.

## **NEH Application Cover Sheet**

The NEH Application Cover Sheet and instructions for completing it are included in this booklet.

## **Table of Contents**

The table of contents should list the parts of the application, and the subdivisions within them, with page numbers.

## **Narrative Description**

Applicants may have much of the information requested in this section in their annual reports, auditors' reports, and brochures. Applicants should include such material and refer to it when preparing a detailed description that includes the following sections:

**Description of the Organization and its Programs.** This section should contain clear and concise statements about the nature of the organization and the importance of the work it supports for the advancement of thought and knowledge in the humanities. Applicants should describe the organization's purposes, history, administration, and governance, as well as the usual sources of funding. In the case of organizations that maintain overseas offices or centers, the description should include the location of each office or center; the administrative structure and size of the staff employed there; the size and scope of library holdings or special collections available on site or at nearby institutions; the resources and facilities available for study, research, and discussion (such as offices, computer equipment, word processors, typewriters, carrels, and common rooms); and any services that would be available to recipients of NEH research

grants (such as secretarial or research assistance, photocopying, meals, and housing or housing assistance).

### **Nature of the Research Grant Programs.**

Applicants should describe the history, purpose, scope, and focus of the research grant program or programs for which support is requested and the place of the program or programs in relation to the overall structure and goals of the organization. This description should include information about any special fields of interest on which the grant program focuses and, in the case of residential programs, any particular mix of scholars that the organization attempts to achieve. Applicants should describe the activities of their grantees from several recent years, reporting on their research and any informal or structured collegial activities in which they participated. In the case of overseas centers, applicants should address the ways in which the center nurtures collegiality among the scholars once they are in residence. This would be an appropriate place to describe the centers' seminars, colloquia, luncheon symposia, and any other ways in which the center seeks to foster intellectual interaction.

To this section the applicant should append lists of all grantees, their fields, their home institutions, and their project topics for the current year and for at least the two preceding years. This list should distinguish long-term (four- to twelve-month) from short-term grantees. If awards are made through separate internal programs or committees within the organization, separate lists should be provided for each program or committee. Applicants for renewal grants should identify recipients of NEH funds on the list and provide brief paragraphs describing their projects. The applicant should also append a comparative statistical analysis of the applicant pool and the resulting awards in each program for the current year and each of the two preceding years, distinguishing applicants eligible for NEH funds from others and including an explanation of any significant trends and a statement of any efforts that the organization is making to influence the trends. Fields of study, types of institution, academic rank, and geographical distribution are the most important general categories of analysis. In addition, the applicant should include in the appendices a bibliography with full citations of books and articles that are attributable to its previous grants. Those attributable to grants made with NEH funds should be so designated.

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**Publicity Procedures.** Applicants should describe the methods used to encourage a broad and diverse group of scholars to apply to their programs. Target audiences for publicity should be identified along with the means by which the applicant attempts to reach those audiences. Applicants should append lists of publications, organizations, and other institutions receiving announcements as well as copies of announcements and posters used to publicize the program. An assessment of the effectiveness of past publicity efforts should also be included.

**Selection Procedures.** Applicant organizations must provide an explanation of how they assure an equitable and informed selection process. Applicants should provide full details on the selection process, including a description of the procedures and schedule, the criteria of selection used in making awards, and the conflict-of-interest rules by which the selection committee deliberations are governed. Applicants should describe the criteria by which members of selection committees themselves are chosen and the years of service for which they are retained. In particular, applicants should describe the kind of balance they try to achieve in their committees with respect to discipline, institutional and geographical diversity, and other factors. In cases where awards are made through more than one program or committee, applicants should describe the selection procedures used by each program or committee and explain how and by what criteria funds are allocated among programs or committees to award to individual scholars. Any variations in the kinds or sizes of awards granted should also be explained.

Applicants should append annotated rosters of the selection committees, rating panels, or slates of outside reviewers for the three preceding years with committee members identified by name, department, institution, and field of expertise; a statement of the guidance provided to persons who take part in the selection of NEH award recipients and a copy of the written instructions and selection criteria given to them; copies of form letters used in responding to inquiries from potential applicants; and application forms and instructions.

**Program Evaluation.** The kinds of reports requested from grantees should be described as should the results of the most recent assessment of the value to the organization's programs. Copies of reports from recipients of NEH funds for the preceding three years should be appended. Institutions that have not made awards with NEH funds should attach reports from their long- or short-term postdoctoral grantees.

**Program Staff and Administration.**

Applicants should identify the permanent professional staff in the United States and abroad who are attached to the program or programs for which support is requested. They should explain how responsibility for each program is divided among the staff and the extent to which they will be directly involved in the administration of the program. Brief résumés for the director of the center or overseas offices and for the principal staff involved in the grant programs should be included in an appendix.

**Program Funding.** Applicants should list the stipend amounts and lengths of tenure of the grants offered. Applicants should explain whether they offer a set amount for grantees' stipends, match salaries, respond to budgets submitted by grantees, or use some other method to determine the stipends. Applicants should also note whether stipends are offered for living expenses only or include amounts to defray travel expenses.

In this section, applicants should also provide an annual budget for their complete research grant program, including funds budgeted from the organization's own resources and from other sources. This budget should be divided into categories of expenses similar to those in the NEH budget described below, and it should clearly distinguish long-term from short-term research awards. If the organization's program now operates with the support of an NEH Centers for Advanced Study or International Research grant, the applicant should list separately the funding for the NEH grant program (consisting of NEH outright and matching funds as well as the gifts used to release the matching funds). If the organization has received an NEH Challenge Grant to endow fellowships or other research grants, the applicant should explain how the annual income from the endowment generated by the Challenge Grant is currently used. In addition, the applicant should provide information about the extent to which the organization can continue its grant programs without additional NEH funding. For example, the applicant should describe what reductions in numbers of grantees in the humanities and length of tenure would be necessary without NEH support.

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### **Future of the Research Grant Program.**

Applicants should describe any proposed changes in the organization's focus, interests, purposes, scope, structure, or grant programs and should explain how these changes will affect the work of scholars supported through the grant programs. Any changes in the number of grantees (NEH-supported and other) or stipend levels needed to achieve the organization's purposes should also be explained.

### **Proposed Budget**

The applicant should prepare a budget that includes all expenses charged to outright and matching funds from NEH as well as expenses that are charged to gifts from third parties that NEH is being asked to match. The budget should show expenses, year by year, broken down into categories: the costs of grant stipends and travel allowances, listed by program; proportionate costs of publicity and selection, including printing, postage, and travel and per diem expenses for selection committee members; and allowable administrative costs for qualifying organizations. These are the only allowable project costs in this program.

Organizations that provide on-site services overseas to recipients of NEH funds or organizations that process more than seventy-five applications eligible for NEH support and award more than twenty grants fully with NEH funds may apply for limited support for associated administrative expenses. Support for administrative expenses will not exceed twenty-five percent of the amount budgeted for stipends or other regranted funds for research. Allowable administrative costs would include, for example, staff salaries, expendable office supplies, postal and long-distance telephone costs, and indirect costs.

Charges for administrative cost recovery must be based on actual amounts of stipends or other regranted funds awarded, and auditable documentation must be kept to support these costs. As a matter of policy, the Endowment does not anticipate increasing an award to cover additional costs resulting from the award of more funds in stipends or regrants than originally budgeted.

A sample budget is provided in the attachments to these instructions.

**Types of Grant Support.** The Endowment supports projects with outright funds, matching funds, and a combination of the two.

*Outright Funds:* Outright funds are awarded by the Endowment to support approved projects and are not contingent on additional fund raising by the grantees.

*Matching Funds:* Matching funds, by contrast, require a grantee to secure gift funds from third parties before federal funds are awarded. Endowment matching grants are made on a one-to-one basis and are intended to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts.

Because matching awards enable the Endowment to provide support to a greater number of significant but often costly projects, applicants are encouraged to request complete or partial support in the form of matching grants. Whenever possible, applicants requesting matching funds should identify potential sources of gift funds at the time they submit an application to the Endowment.

*Combined Funds:* Applicants may also request a combination of outright and matching funds from the Endowment. For example, if a project will cost \$40,000 and the applicant expects to receive \$10,000 from an eligible third-party donor, the applicant should request \$10,000 in matching funds. The balance of the project's costs, \$20,000, may be requested in outright funds.

The Endowment may offer funding at a different level than that requested. In some instances, the Endowment may offer matching funds only, or it may offer a combination of matching and outright funds in response to a request for outright funds.

**Grant Period.** The grant period encompasses the entire period for which Endowment support is requested in the current application. All project activities and the expenditure of project funds, that is, grant funds and third-party funds that are used to release federal matching funds, must occur during the grant period. The grant period may extend to four years if funds are requested for program publicity and selection in the year preceding the first award of research grants.

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## Appendices

The appendices should be limited to supplementary but essential materials. These materials should include:

- a) résumés from the relevant members of the organization's staff;
- b) a list of members of the organization's board of trustees;
- c) lists of publications of previous NEH and other grantees (NEH grantees should be clearly identified as such, and full citations should be given for all publications);
- d) lists of grantees (NEH and other) for the current and at least the past two years, including disciplines, institutional affiliations, and project topics of grantees (applicants for renewal grants should identify recipients of NEH funds on the list and provide brief paragraphs describing their projects);
- e) statistics on applications and awards as described above (page 7);
- f) lists of publications, organizations, and institutions receiving announcements of the grant programs;
- g) copies of publicity materials, application forms, and form letters used in responding to inquiries from potential applicants;
- h) lists of selection committee members who chose the grantees for the current and last two years and copies of instructions and criteria for evaluation provided them; and
- i) copies of reports from long-term (four months or more) grantees for the last three years.

## Statement of History of Grants

Please complete the enclosed form with this heading.

## Formal Submission

A checklist for assembling the final application is included at the front of this booklet.

Each copy of the application should be stapled or bound securely and assembled in the following order:

1. NEH Application Cover Sheet
2. Table of Contents
3. Narrative Description
4. Budget
5. Appendices
6. Statement of History of Grants

Applicants should submit *twelve* copies of the application, including *one* copy with the original, signed cover sheet, along with *three* extra copies of the cover sheet. Applications may not be submitted to NEH via FAX machine or electronic mail. The complete application package should be mailed to:

International Research Organizations  
Division of Research Programs  
National Endowment for the Humanities  
Room 318  
1100 Pennsylvania Avenue, N.W.  
Washington, DC 20506

## Deadline

The complete application package must be postmarked no later than *October 1*. Receipt of the application will be acknowledged by postcard within four weeks after the application deadline. Applicants who do not receive such an acknowledgment should call or write the Endowment as soon as possible. The review of applications requires approximately nine months, and applicants are notified about the Endowment's decision early in June.

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## **Equal Opportunity Statement**

Endowment programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Equal Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506. TDD: 202/606-8282 (this is a special Telephone Device for the Deaf).

## **Compliance with Other Federal Laws**

Applicants should be aware that a number of other federal laws and regulations apply to Endowment-supported projects. Depending on the project, these may include compliance with

- o the NEH Code of Ethics governing research, publication, and public programming in projects related to American Indian, Aleut, Eskimo, or native Hawaiian peoples;
- o Department of Labor minimum compensation requirements; and
- o a congressional preference for the purchase of American-made equipment and products.

Other requirements may apply, and applicants are encouraged to consult with Endowment officers early in the application process.

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National Endowment for the Humanities  
Washington, D.C.

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The following pages include:

- Instructions for Completing the Application Cover Sheet
- The Application Cover Sheet
- Field of Project Categories and Codes

Please read the instructions before completing applicable questions. Please print or type.

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Purpose: The National Endowment for the Humanities uses a single cover sheet for all of its programs. This cover sheet gathers information that is necessary in one of two ways:

(1) The information is necessary for efficient consideration of the application during the review process and in the administration of the grant if an award is made.

(2) The information is required of the Endowment in various reports to Congress, other federal agencies, and the public. The Endowment must provide reports that involve statistical information or descriptions that can be obtained quickly from the cover sheet. Information is recorded in a computer, which stores the data for subsequent compilation and reporting.

Please read the instructions for each question carefully. Answer each question by typing or printing your reply. Please verify your answers to be certain that they are correct and complete.

**You will find it helpful to complete the cover sheet last, after all other parts of the application have been prepared.**

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Privacy Act: The following notice is furnished in compliance with the Privacy Act of 1974:

The information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. This information is needed to process the grant application and for statistical research and analysis of trends. The routine uses which may be made of this information are: general administration of the grant review process; review and discussion by peer review advisory panels and, in some programs, evaluation by specialist reviewers, Endowment staff, and members of the National Council on the Humanities; statistical summaries; congressional oversight; and analysis of trends. Failure to provide any of the requested information will result in the delay or rejection of the application.

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## INSTRUCTIONS FOR COMPLETING THE NEH APPLICATION COVER SHEET

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is forty hours per response. This estimate includes the time for reviewing instructions; researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Director of the Office of Publications and Public Affairs, National Endowment for the Humanities, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, DC 20503.

### Block 1--Individual Applicant or Project Director

**Item a.** Enter the name and mailing address of the organization staff member who will be chiefly responsible for the project.

**Item b.** In the space provided, enter the number corresponding to the applicant's or project director's preferred form of address:

|         |         |              |
|---------|---------|--------------|
| 1--Mr.  | 3--Miss | 5--Professor |
| 2--Mrs. | 4--Ms.  | 6--Dr.       |

**Item c.** Enter the applicant's full telephone number with area code and, if applicable, extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left.

**Item d and Item e.** Applicants for grants in the International Research Organizations program need not complete these items.

### Block 2--Type of Applicant

All applicants for grants in the International Research Organizations program should be applying through an organization or institution. Item b has already been indicated on your form.

The *Type*, International Research Organization, is preprinted on your form. Identify *Status* as either Private Nonprofit or Unit of State or Local Government. Example: *Type*: International Research Organization *Status*: Private Nonprofit.

### Block 3--Type of Application

Check appropriate type:

*Item a.* New--applicants requesting a new period of funding, whether for a new project or for a project previously funded by NEH, should check this box.

*Item b.* Supplement--applicants requesting additional funding to a current NEH grant should check this box.

### Block 4--Program to which Application Is Being Made

This information is preprinted on your form.

### Block 5--Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not begin on the first day, but all project activities must take place within the requested grant period.

### Block 6--Project Funding

Enter here the appropriate figures from the Project Budget that is part of your application.

Gift money that will be raised to release any federal matching funds should be listed in Block 6d as cost sharing.

### Block 7--Field of Project

Indicate the category and code from the listing on the reverse side of the cover sheet to indicate the *specific* humanities field that best describes the content of the project.

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**Block 8--Descriptive Title of Project**

Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a nonspecialist. NEH is obliged to be as clear as possible to the public about awards that it makes. The descriptive title will be used for this purpose whenever possible, but the Endowment staff may assign a different working title.

**Block 9--Description of Project**

Provide a brief description of the proposed project. Do not exceed the space provided.

**Block 10--Will This Proposal Be Submitted to Another Government Agency or Private Entity for Funding?**

This information is sought without prejudice to the application. NEH frequently cosponsors projects with other funding sources. If not applicable, indicate "N/A."

**Block 11--Institutional Data**

*Item a.* Indicate the name of the institution and the city and state of its official mailing address.

*Item b.* Enter the institution's employer identification number.

*Item c.* Indicate the name and title of the person who is authorized to submit applications on behalf of the institution or organization and to provide the certifications required in Block 12.

*Item d.* Indicate the name, mailing address, form of address (see instructions for Block 1b), and telephone number of the person who will be responsible for the financial administration of the grant if an award is made. For example, at many universities the provost, vice president, president, or chancellor is the person "authorized" to submit an application (see item c), but the actual administration of the project--such as, negotiating the project budget and ensuring compliance with the terms and conditions of the award--is the responsibility of a grants or research officer. It is the latter person who should be listed here.

**Block 12--Certification**

The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Institutional applicants are required to certify that they will comply with the nondiscrimination statutes and their implementing regulations. These certifications and the accompanying instructions found in the appendix of this brochure should be read carefully before the application cover sheet is signed because most of these certifications impose new responsibilities on successful applicants.

NEH APPLICATION COVER SHEET

OMB No. 3136-0134  
Expires: 7/31/97

**1. Individual applicant or project director**

a. Name and mailing address

Name \_\_\_\_\_  
(last) (first) (initial)

Address \_\_\_\_\_

(city) (state) (zip code)

b. Form of address: \_\_\_\_\_

c. Telephone number

Office: \_\_\_\_\_ / \_\_\_\_\_ Home: \_\_\_\_\_ / \_\_\_\_\_  
(area code) (area code)

d. Major field of applicant or project director \_\_\_\_\_

(code)

e. Citizenship: \_\_\_\_\_ U.S.  
\_\_\_\_\_ Other \_\_\_\_\_

(specify)

7. Field of project \_\_\_\_\_

(code)

8. Descriptive title of project \_\_\_\_\_

**2. Type of applicant**

a. \_\_\_\_\_ by an individual b.  through an org./institution

If a, indicate an institutional affiliation, if applicable, on line 11a.

If b, complete block 11 below and indicate here:

c. Type—Center for Advanced Study

d. Status \_\_\_\_\_

**3. Type of application** a. \_\_\_\_\_ new b. \_\_\_\_\_ supplement

If b, indicate previous grant number \_\_\_\_\_

**4. Program to which application is being made**

International Research Organizations \_\_\_\_\_

**5. Requested grant period**

From: \_\_\_\_\_ To: \_\_\_\_\_

**6. Project Funding**

|                        |    |       |
|------------------------|----|-------|
| a. Outright funds      | \$ | _____ |
| b. Federal match       | \$ | _____ |
| c. Total from NEH      | \$ | _____ |
| d. Cost sharing        | \$ | _____ |
| e. Total project costs | \$ | _____ |

**9. Description of project (do not exceed space provided)**

**10. Will this proposal be submitted to another government agency or private entity for funding? (if yes, indicate where and when):**

**11. Institutional data**

a. Institution or organization:

\_\_\_\_\_

(name)

\_\_\_\_\_

(city)

(state)

b. Employer identification number: \_\_\_\_\_

c. Name of authorizing official:

\_\_\_\_\_

(last)

(first)

(initial)

(title)

d. Name and mailing address of institutional grant administrator:

\_\_\_\_\_

(last)

(first)

(initial)

\_\_\_\_\_

(city)

(state)

(zip code)

Telephone: \_\_\_\_\_ / \_\_\_\_\_ Form of address: \_\_\_\_\_  
(area code)

**12. Certification.** By signing and submitting this application, the applicant or the authorizing official of the applicant institution (block 11c) is providing the applicable certifications regarding the nondiscrimination statutes and implementing regulations, federal debt status, debarment and suspension, a drug-free workplace, and lobbying activities, as set forth in the appendix to these guidelines.

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
(printed name) (signature) (date)

NOTE: Federal law provides criminal penalties of up to \$10,000 or imprisonment of up to five years, or both for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001.

**For NEH use only**  
Date received  
Application #

## Field of Project Categories and Codes

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The following categories and codes should be used to complete blocks 1d and 7 of the NEH Application Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter field. The listing is not comprehensive and is not meant to define the disciplines of the humanities. For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.)

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### ***Anthropology L1***

Archaeology U6

### ***Archival Management/Conservation I1***

### ***Arts/History and Criticism MA***

Architecture: History & Criticism U3

Art: History & Criticism M1

Dance: History & Criticism M3

Film: History & Criticism M4

Music: History & Criticism M5

Theater: History & Criticism M2

### ***Communications P2***

Composition & Rhetoric P1

Journalism P4

Media P3

### ***Education H1***

### ***Ethnic Studies K1***

Asian American K5

Black/African-American K4

Hispanic American K3

Jewish K6

Native American K2

### ***History A1***

African A2

American A3

Ancient AC

British A4

Classical A5

European A6

Far Eastern A7

Latin American A8

Near Eastern A9

Russian AA

South Asian AB

### ***Humanities U8***

### ***Interdisciplinary U1***

African Studies GI

American Studies G3

Area Studies GH

Asian Studies G5

Classics G7

Folklore/Folklife R1

History/Philosophy of Science,  
Technology, or Medicine GA

International Studies GG

Labor Studies G4

Latin American Studies GJ

Medieval Studies G8

Regional Studies GF

Renaissance Studies G9

Rural Studies GC

Urban Studies G2

Western Civilization GB

Women's Studies G1

### ***Languages C1***

Ancient CC

Asian CA

Classical C2

Comparative C9

English CE

French C3

German C4

Italian C5

Latin American C6

Near Eastern CB

Slavic C7

Spanish C8

### ***Law/Jurisprudence Q1***

### ***Library Science H3***

### ***Linguistics J1***

### ***Literature D1***

African DK

American DE

Ancient DC

Asian DA

British DD

Classical D2

Comparative D9

French D3

German D4

Italian D5

Latin American D6

Literary Criticism DI

Near Eastern DB

Slavic D7

Spanish D8

### ***Museum Studies/Historic Preservation I2***

### ***Philosophy B1***

Aesthetics B2

Epistemology B3

Ethics B4

History of Philosophy B5

Logic B6

Metaphysics B7

Non-Western Philosophy B8

### ***Religion E1***

Comparative Religion E5

History of Religion E2

Non-Western Religion E4

Philosophy of Religion E3

### ***Social Science U2***

American Government F2

Economics N1

Geography U7

International Relations F3

Political Science F1

Psychology U5

Public Administration F4

Sociology S1

## SAMPLE BUDGET

### I. Outlays (by year of expenditure)

|   | <u>1995-96</u> | <u>1996-97</u> | <u>Totals</u> |
|---|----------------|----------------|---------------|
| Direct payments to grantees                               |                |                |               |
| <u>Long-term Fellowship Program (twelve-month awards)</u> |                |                |               |
| Fellowship stipends [3 @ \$28,000]*                       |                | 84,000         |               |
| Travel allowances [3 @ \$1,000]*                          |                | 3,000          |               |
| <u>Short-term Summer Grants</u>                           |                |                |               |
| Grant stipends [3 @ \$2,000]*                             |                | <u>6,000</u>   |               |
| <u>Total</u>  |                | 93,000         |               |
| Publicity   |                |                |               |
| Printing  | 1,000          |                |               |
| Postage   | <u>1,200</u>   |                |               |
|   | 2,200          |                |               |
| Selection   |                |                |               |
| Travel of five committee members                          | 1,500          |                |               |
| Per diem for same for two days                            | 750            |                |               |
| Duplication of applications                               | <u>50</u>      |                |               |
|   | 2,300          |                |               |
| Administrative Costs**                                    |                |                |               |
| 20% of \$93,000   |                | 18,600         |               |
| Total outlays   |                |                |               |
| Direct payments to grantees                               |                |                | 93,000        |
| Publicity and selection                                   |                |                | 4,500         |
| Administrative Costs                                      |                |                | 18,600        |
| Total   |                |                | 116,100       |

### II. Funding

|                    |         |
|--------------------|---------|
| NEH Outright funds | 46,100  |
| NEH Matching funds | 35,000  |
| Gifts              | 35,000  |
| Total Funding      | 116,100 |

\* Indicate in brackets the estimated number of grants to be funded with NEH outright, matching, and gift funds.

\*\* Organizations that provide on-site services overseas to recipients of NEH funds or organizations that process more than seventy-five applications eligible for NEH support and award more than twenty grants fully with NEH funds may apply for limited support for associated administrative expenses. Support for administrative expenses will not exceed twenty-five percent of the amount budgeted for stipends or other regranted funds for research. Allowable administrative costs would include, for example, staff salaries, expendable office supplies, postal and long-distance telephone costs, and indirect costs.

## SAMPLE BUDGET

### I. Outlays (by year of expenditure)

|   | <u>1995-96</u> | <u>1996-97</u> | <u>Totals</u> |
|---|----------------|----------------|---------------|
| Direct payments to grantees                               |                |                |               |
| <u>Long-term Fellowship Program (twelve-month awards)</u> |                |                |               |
| Fellowship stipends [3 @ \$28,000]*                       |                | 84,000         |               |
| Travel allowances [3 @ \$1,000]*                          |                | 3,000          |               |
| <u>Short-term Summer Grants</u>                           |                |                |               |
| Grant stipends [3 @ \$2,000]*                             |                | <u>6,000</u>   |               |
| <u>Total</u>  |                | 93,000         |               |
| Publicity   |                |                |               |
| Printing  | 1,000          |                |               |
| Postage   | <u>1,200</u>   |                |               |
|   | 2,200          |                |               |
| Selection   |                |                |               |
| Travel of five committee members                          | 1,500          |                |               |
| Per diem for same for two days                            | 750            |                |               |
| Duplication of applications                               | <u>50</u>      |                |               |
|   | 2,300          |                |               |
| Administrative Costs**                                    |                |                |               |
| 20% of \$93,000   |                | 18,600         |               |
| Total outlays   |                |                |               |
| Direct payments to grantees                               |                |                | 93,000        |
| Publicity and selection                                   |                |                | 4,500         |
| Administrative Costs                                      |                |                | 18,600        |
| Total   |                |                | 116,100       |

### II. Funding

|                    |  |        |         |
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## STATEMENT OF HISTORY OF GRANTS

If the organization has received previous support from any federal sources, including the Endowment, in the five years preceding this application, please list below the sources of these funds as well as the date and total dollar amount of each contribution. If the organization has had a long history of support, the sources and contributions may be grouped and summarized so that the list will not exceed one page.

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## GRANTEE RESPONSIBILITIES

If funding is approved by the Endowment, the grantee will be responsible for insuring that the grant is administered in accordance with the following grant provisions:

- o The grantee must have a financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost-sharing contributions and that monitors the expenditure of these funds against the approved budget. (A checklist of the basic financial management standards for nonprofit organizations is available from the NEH Grants Office, Room 310, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506.)
- o All commitments and obligations of grant funds and cost-sharing contributions are to occur during the grant period.
- o Project activities are to be carried out in accordance with the workplan provided in the approved application. The following changes require written approval *in advance* from the Endowment:
  - o changes in the project's focus or scope;
  - o major adjustments in the budget; and
  - o the replacement of the project director, the codirector, or other project personnel specifically named in the award notice.
- o Interim performance reports are required and should provide detailed and thorough descriptions of the project's activities and progress.
- o Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.
- o Unless advised to the contrary, all materials publicizing or resulting from grant activities shall contain an acknowledgment of NEH support.
- o The grantee shall be directly responsible for the administration and supervision of the project.

## ELIGIBLE GIFTS AND DONORS

Only gifts of money, including the net proceeds from the sale of noncash gifts, that will be used to support budgeted project activities during the grant period are eligible to be matched with federal matching funds. The source, date of transfer, and amount of the gift or net proceeds from the sale of a noncash gift must be documented in the applicant's records.

Both restricted gifts (gifts that are given specifically in support of a project) and unrestricted gifts (gifts that may be used at the recipient's discretion) are eligible to be matched if they are donated directly to the applicant.

If a gift of money is given to an individual or organization associated with the project rather than directly to the applicant, that gift normally will not be deemed eligible to release federal matching funds. The only exception is if the donor has given the gift specifically in support of the project and control over the expenditure of these gift funds is transferred to the applicant.

Applicants should note that the following items are not eligible to be matched with federal funds: federally appropriated funds, deferred and noncash gifts, income earned from gifts after they are transferred to the applicant, and income received from any fees for participation in project activities.

Ineligible donors include the applicant who will carry out the project and any institution or individual who is involved in project activities and who will receive some sort of remuneration from project funds. To avoid any possibility of conflict of interest, a gift should not be used to release federal matching funds when there is the appearance that the donor might benefit in any way by giving a gift to a particular project.

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## Appendix

### Instructions for the Certifications

#### General Requirements

The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Institutional applicants are required to certify that they will comply with the nondiscrimination statutes and implementing regulations.

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 and implementing regulations, a drug-free workplace, or lobbying, that person is not eligible to apply for funding from the Endowment. When an applicant is unable to certify regarding federal debt status or debarment and suspension, an explanation must be attached to the proposal. The explanation of why the certification cannot be submitted will be considered in connection with the Endowment's funding determination. Failure to furnish a certification or an explanation shall disqualify the applicant from receiving an award from the Endowment.

The certifications are material representations of fact upon which reliance will be placed when the Endowment determines to fund the application. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, in addition to other remedies available to the federal government, the Endowment may seek judicial enforcement of the certification (nondiscrimination statutes); may terminate the award for cause or default (federal debt status and debarment and suspension); and may suspend payment, suspend or terminate the grant, or suspend or debar the grantee (drug-free workplace). Any person who fails to file a required certification regarding lobbying or submits an erroneous certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The applicant shall provide immediate written notice to the director of the NEH Grants Office if at any time the applicant learns that its certifications

were erroneous when submitted or have become erroneous by reason of changed circumstances.

#### Nondiscrimination Statutes and Implementing Regulations

The certification regarding the nondiscrimination statutes and implementing regulations 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 Endowment 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 Endowment support, this certification shall obligate 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 disabled to make certain they comply with Endowment regulations prohibiting discrimination of the disabled.

#### Federal Debt Status

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

Definitions of terms used in the federal debt status certification:

**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.

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## Debarment and Suspension

The applicant agrees by submitting this proposal that should the proposal be funded by the Endowment, 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 the Endowment.

The applicant further agrees by submitting this proposal to include without modification the following clause in all lower tier covered transactions 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 are 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 the method and frequency by which it determines the eligibility of its “principals.”

Except when specifically authorized by the Endowment, if a grantee 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 remedies available to the federal government, the Endowment may terminate this transaction for cause or default.

Definitions of terms used in the debarment and suspension certification:

**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.”

**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 or services, regardless of type, under a primary covered transaction. (b) Any procurement contract for goods or services between a participant and a person, regardless of type, expected 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] 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 organizations, 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 transactions 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 participant.

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**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 proceedings as may ensue.

**Voluntarily Excluded:** The status of nonparticipation or limited participation in covered transactions assumed by a person pursuant to the terms of a settlement.

### **Drug-Free Workplace**

By signing and submitting the application, the institutional applicant agrees, among other things, to establish an on-going drug-free awareness program; to publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace; and to give this statement to each employee to be engaged in the performance of the grant. For grants that have a performance period in excess of 30 days, the program and policy statement must be in place within thirty days of the date the award is issued.

A grantee will be considered in violation of the drug-free workplace requirements if the grantee falsely certifies, fails to carry out the requirements of the certification, or fails to make a good faith effort to maintain a drug-free workplace.

The applicant must either identify in the application proposal the place(s) where the grant activities will be carried out or must keep this information on file in its office so that it is available for federal inspection. Workplace identification shall include the actual address of buildings (or parts of buildings) or other sites where work under the grant will take place. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

Definitions of terms used in the drug-free workplace certification:

**Controlled Substance:** A controlled substance in schedules I through V of the Controlled Substance Act (21 U.S.C. 812), and as further defined by regulation at 21 CFR 1308.11 - 1308.15.

**Drug-free Workplace:** A site for the performance of work done in connection with a specific grant at which employees of the grantee are prohibited from engaging in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance.

**Employee:** The employee of a grantee directly engaged in the performance of work under the grant, including all "direct charge" employees; all "indirect charge" employees, unless their impact or involvement is insignificant to the performance of the grant; and all temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll.

**Grantee:** A person who applies for or receives a grant directly from a federal agency.

### **Lobbying Activities**

An applicant who requests grant funds in excess of \$100,000 is required to certify and, under certain circumstances, file a disclosure statement on lobbying activities. The "Certification Regarding Lobbying Activities" applies only to the individual application for which Endowment funding is being sought. If nonfederal funds were used or will be used to support lobbying activities for this application by persons other than regularly employed officers or employees of the applicant institution, the OMB "Disclosure of Lobbying Activities" (Standard Form LLL) shall be completed and returned to the NEH Grants Office. This form will also be filed at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information previously filed.

Those who received a subgrant, contract, or subcontract exceeding \$100,000 at any tier under an Endowment grant are required to file a certification and, when necessary, a disclosure form to the next tier above. All disclosure forms shall be forwarded to the NEH Grants Office by the grantee.

For the purpose of this certification a "regularly employed officer or employee of the applicant" is one who is employed by the applicant for at least 130 working days within one year immediately preceding the date of the submission that initiates Endowment consideration of the applicant for receipt of a grant or cooperative agreement.

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## Certifications

### 1. Certification Regarding the Nondiscrimination Statutes and Implementing Regulations (Applies to Recipients Other than Individuals)

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 received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 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; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 *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 achievement of any statutory objective of the project or activity shall not violate this statute.

### 2. Certification Regarding Federal Debt Status (OMB Circular A-129)

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

### 3. Certification Regarding Debarment and Suspension (45 CFR 1169)

The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of 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 state 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 governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

### 4. Certification Regarding Drug-Free Workplace Requirements (Drug-Free Workplace Act of 1988)

#### Alternate I. (Applies to Grantees Other Than Individuals)

(A) The grantee certifies that it will or will continue to provide a drug-free workplace by

(a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions;

(b) establishing an ongoing drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the grantee's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;

(c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving

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actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

(f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**Alternate II. (Applies to Grantees Who Are Individuals)**

(A) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.

(B) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

**5. Certification Regarding Lobbying Activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of \$100,000)**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

# DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB  
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)

|  |   |  |
|--|---|--|
| <b>1. Type of Federal Action:</b><br><input type="checkbox"/> a. contract<br><input type="checkbox"/> b. grant<br><input type="checkbox"/> c. cooperative agreement<br><input type="checkbox"/> d. loan<br><input type="checkbox"/> e. loan guarantee<br><input type="checkbox"/> f. loan insurance  | <b>2. Status of Federal Action:</b><br><input type="checkbox"/> a. bid/offer/application<br><input type="checkbox"/> b. initial award<br><input type="checkbox"/> c. post-award   | <b>3. Report Type:</b><br><input type="checkbox"/> a. initial filing<br><input type="checkbox"/> b. material change<br><br><b>For Material Change Only:</b><br>year _____ quarter _____<br>date of last report _____ |
| <b>4. Name and Address of Reporting Entity:</b><br><input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, <i>if known:</i><br><br>Congressional District, <i>if known:</i> _____   | <b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b><br><br>Congressional District, <i>if known:</i> _____  |  |
| <b>6. Federal Department/Agency:</b>   | <b>7. Federal Program Name/Description:</b><br><br>CFDA Number, <i>if applicable:</i> _____   |  |
| <b>8. Federal Action Number, if known:</b>   | <b>9. Award Amount, if known:</b><br>\$ _____   |  |
| <b>10. a. Name and Address of Lobbying Entity</b><br><i>(if individual, last name, first name, MI):</i>  | <b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i><br><i>last name, first name, MI</i>  |  |
| <i>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</i>   |   |  |
| <b>11. Amount of Payment (check all that apply):</b><br>\$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned  | <b>13. Type of Payment (check all that apply):</b><br><input type="checkbox"/> a. retainer<br><input type="checkbox"/> b. one-time fee<br><input type="checkbox"/> c. commission<br><input type="checkbox"/> d. contingent fee<br><input type="checkbox"/> e. deferred<br><input type="checkbox"/> f. other; specify: _____ |  |
| <b>12. Form of Payment (check all that apply):</b><br><input type="checkbox"/> a. cash<br><input type="checkbox"/> b. in-kind; specify: nature _____<br>value _____  |   |  |
| <b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:</b><br><br><br>(attach Continuation Sheet(s) SF-LLL-A, if necessary)  |   |  |
| <b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No   |   |  |
| <b>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b> | <b>Signature:</b> _____<br><b>Print Name:</b> _____<br><b>Title:</b> _____<br><b>Telephone No.:</b> _____ <b>Date:</b> _____  |  |
| <b>Federal Use Only:</b>   |   | Authorized for Local Reproduction<br>Standard Form - LLL   |

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

**DISCLOSURE OF LOBBYING ACTIVITIES**

Approved by OMB  
0348-0046

**CONTINUATION SHEET**

Reporting Entity: \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_

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## OTHER PROGRAMS OF THE RESEARCH DIVISION

**Centers for Advanced Study** grants support postdoctoral fellowship programs at independent centers for advanced study. The application deadline for sponsoring organizations is October 1 for projects beginning on or after July 1 of the following year. Each center has deadlines for individual applications. Individuals apply directly to the centers.

**Scholarly Publications** grants support the preparation of authoritative and annotated editions of works and documents of value to humanities scholars and general readers; the translation into English of works that provide insight into the history, literature, philosophy, and artistic achievements of other cultures and that make available to scholars, students, teachers, and general readers the thought and learning of those civilizations; and the publication and dissemination of excellent books in all fields of the humanities. The application deadline for *Editions* and *Translations* is June 1 for projects beginning on or after April 1 of the following year. The application deadline for *Subventions* is March 15 for projects beginning on or after October 1.

**Reference Materials** grants support projects to prepare dictionaries, historical or linguistic atlases, encyclopedias, concordances, reference grammars, databases, textbases, and other works for the advancement of research in the humanities or for general reference as well as projects to prepare bibliographies, descriptive catalogues, indexes, union lists, and other guides that assist scholars and researchers in locating information. The application deadline is September 15 for projects beginning on or after July 1 of the following year.

**Interpretive Research** grants support long-term collaborative projects and conferences designed to advance the state of research on topics of major importance; significant archaeological excavations and publications worldwide; and projects that apply the knowledge, methods, and perspectives of the humanities to subjects in science, technology, and medicine. For *Collaborative Projects* and *Humanities, Science, and Technology*, the application deadline is October 15 for projects beginning on or after July 1 of the following year. For *Archaeology*, the application deadline is October 15 for projects beginning on or after April 1 of the following year. For *Conferences*, the application deadlines for sponsoring organizations are April 1 for projects beginning on or after October 1, and October 1 for projects beginning on or after April 1 of the following year.

The Division of Research Programs also reviews *Challenge Grant* applications intended to promote long-term improvements in the quality of an institution's research resources or programs in the humanities. The application deadline is May 1.

Information on the programs of the Research Division is available from the

Division of Research Programs  
Room 318  
National Endowment for the Humanities  
1100 Pennsylvania Avenue, N.W.  
Washington, DC 20506

FAX number: 202/606-8204  
INTERNET address:  
NEHRES@GWUVM.GWU.EDU  
(NEH will not accept applications sent via FAX machine or electronic mail.)

Telephone numbers:

**Centers for Advanced Study, International Research Organizations, and Challenge Grants:** 202/606-8359.

**Scholarly Publications:** 202/606-8207.

**Reference Materials:** 202/606-8358.

**Interpretive Research:** 202/606-8210.

R94-6

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