



National  
Endowment  
for the  
Humanities

Division  
of  
Research  
Programs

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Application  
Instructions  
and Forms

# Regrants

## Centers for Advanced Study

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## INTRODUCTION

Because these instructions supplement the general guidelines of the Division of Research Programs, all applicants should read the guidelines brochure carefully before beginning the preparation of an application. The brochure describes the division's review process and the various categories of support and lists the questions reviewers normally ask of proposals submitted in each of the categories. The issues raised by these questions should be addressed in the appropriate sections of the proposal.

The mission of the National Endowment for the Humanities is to support work that will promote or encourage, in the words of the enabling legislation, "progress and scholarship in the humanities." Because citizens' tax funds are the source of support for all awards the Endowment makes, the Endowment strives to support only projects of compelling importance and quality. It is especially important, therefore, for applicants to demonstrate that a project will be substantial and will make a significant contribution to scholarship in the humanities.

## I. PURPOSE OF ENDOWMENT SUPPORT

In the Centers for Advanced Study category, the Endowment supports interrelated research efforts in well-defined subject areas of the humanities at independent research libraries, research museums, American research centers overseas, and other independent centers for advanced study. The fellowships regranted by the centers enable individual scholars to pursue their own research for periods ranging from six to twelve months and to participate in the interchange of ideas among the centers' scholars. Endowment funds awarded in this category may be used only to support fellowship stipends and standard allowances, the cost of publicizing the availability of the NEH fellowships, and the costs of selecting the fellows. A list of currently funded centers is available from the Endowment on request.

## II. ELIGIBLE APPLICANTS

Centers for advanced study that are financed and directed independently, or predominantly independently, of higher education institutions are eligible to apply. Because the purpose of the Endowment's support is to enhance existing programs, only those centers that have fellowship programs in place at the time of application are eligible.

## III. CONDITIONS GOVERNING NEH FELLOWSHIPS AT CENTERS

Centers should publicize the NEH fellowships and their application procedures clearly and effectively so that all qualified potential applicants may learn of the full range of fellowship opportunities. Although the final selection of NEH fellows is a center's prerogative, centers should ensure fair and informed selection by relying on the advice of scholars who are not on the centers' boards or staffs. After each application cycle, each center must provide the Endowment a full report on the center's competition for fellowships, from publicity campaign to selection of fellows. In particular, the center must provide (a) copies of printed material used to publicize the availability of NEH fellowships at the center; (b) a description of the audience at which the publicity was aimed and a list of the journals, newsletters, institutions, etc., to which publicity materials were sent; (c) a description of the process of selection, including the names, institutions, and fields of the people who reviewed the applications; (d) the names of the NEH fellows selected and full applications, including résumés, project proposals, tenure periods, and stipend amounts; (e) a statistical analysis of the applicants eligible for NEH fellowships by field, type of institution, and geographical distribution; and (f) a comparison of the applicant pool with the previous year's pool and an analysis of any discernible statistical trends in recent years or sudden changes from the previous year.

The stipends and allowances for NEH fellows are determined in accordance with a center's usual practices, although the maximum amount that may be awarded to a fellow from NEH funds is \$27,500. A center may supplement the stipend from its own funds, but in no case may the total amount that a fellow receives exceed his or her salary for the academic or calendar year, except for customary allowances for travel and other research expenses. In addition, centers must grant NEH fellows all benefits, services, and accommodations normally accorded other fellows so that there will be no distinction among the fellows.

NEH fellowships are for persons who have already completed their formal professional training. Consequently, degree candidates and persons seeking support for degree work are not eligible to apply. Foreign nationals are also ineligible unless they have lived in the United States for three years immediately preceding the date the fellowships would be awarded. Centers may not restrict applications to members of a scholarly organization nor to persons affiliated with institutional members of a scholarly organization and must give all eligible applicants equal consideration. Centers may also not accept applications from or award fellowships to their officers, members of their boards of trustees or advisers, or officers or board members of parent organizations.

Fellows must devote full time to their fellowship studies and may not accept teaching assignments or undertake any other major activities during the tenure of their fellowships without the written approval of the Endowment. Fellowship tenure must be continuous and of a duration ranging from six to twelve months.

At the end of their tenure, each NEH fellow must submit a final report on activities and accomplishments under the fellowship to the NEH Division of Research Programs.

In accepting a grant, a center agrees:

(a) 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 the grant funds. This requirement includes materials prepared by the center to advertise the availability of fellowships at the center; materials that describe the procedures for the selection of fellows; announcements of fellows selected; and reports on the substantive work accomplished by NEH fellows. Persons supported in whole or in part by NEH funds must be so identified, even when other sources of funding are involved;

(b) to insure that all scholarly articles, books, and other publications resulting from work conducted at the center by NEH fellows contain an acknowledgment of NEH support;

(c) to list in its annual reports to NEH all books, articles, and monographs appearing during the year being reported that were

prepared at the center by NEH fellows supported under the current grant or previous grants; and

(d) to provide NEH's Division of Research Programs with one copy of all books, articles, and monographs.

#### IV. PRELIMINARY PROPOSAL

Although the formal deadline for applications is December 1, 1988, applicants should notify the Endowment by October 1 of their intention to apply. Applicants are also urged to submit a draft of the narrative and budget sections of the proposal at least eight weeks before the application deadline. These preliminary steps will permit the staff of the Endowment to offer advice regarding a proposal's eligibility, completeness, and competitiveness, and, if appropriate, to arrange a site visit to the center early in 1989. Staff responses to preliminary proposals are not a part of the formal review process, which begins with the site visit.

#### V. THE APPLICATION

The application should consist of six parts: a cover sheet, a table of contents, a narrative description of the center's program, a budget, appendices (including résumés), and a statement of the history of federal grants received by the center. Forms for the cover sheet and the history of grants are enclosed. Proposal narratives should be limited to twenty-five or fewer double-spaced pages.

##### A. Cover Sheet

The NEH Application Cover Sheet and instructions for completing it are enclosed.

##### B. Table of Contents

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

##### C. Narrative Description

Centers 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:

##### 1. Nature of the Center

This section should contain clear and concise statements about the nature of the center and about the importance of the work done at the center for the advancement of thought and knowledge in the

humanities. A fundamental consideration in the award of Endowment funds to a center is the advantage to scholars of working collegially at the center in contrast to working individually at separate locations. Applicants should describe the means chosen by the center to attract scholars with related interests and to nurture collegiality among them.

Applicants should describe the center's philosophy, purpose, history, and governance as well as the usual sources of funding. The size and scope of library holdings or special collections at the center or in nearby institutions should also be detailed. Information should be provided about the facilities available for study, research, and discussion (such as offices, computer equipment, word processors, typewriters, carrels, common rooms, etc.) and about any services available to the fellows (such as secretarial or research assistance, photocopying, meals, and housing or housing assistance).

## 2. Center Staff

Applicants should identify the permanent professional staff and faculty at the center and should explain the extent to which they will be directly involved in the fellowship program. Brief résumés for the director of the center and the principal staff or faculty members involved in the fellowship program should be included in an appendix.

## 3. Nature of the Fellowship Program

Applicants should describe the history, purpose, scope, and focus of the center's fellowship program. This description should include information about any special fields of interest on which the fellowship program focuses or about any particular mix of fellows that the center attempts to achieve. The accomplishments of past fellows, including books and articles on which fellows have worked during their stay at the center, should also be listed and documented with full citations. All applicants should provide a list of fellows and their home institutions for the current year and for at least the three preceding years. This list should distinguish long-term (six to twelve month) from short-term (one to five month) fellows. Applicants for renewal grants should identify the NEH fellows on the list. All applicants should also provide a statistical analysis of the applicant pool for each of the four years, including an explanation of any significant trends and a statement of any efforts that the center is making to influence the trends. Fields of study, types of institution, and geographical distribution are the most important general categories of analysis.

Applicants should provide full details on the selection process, including: a description of the procedures and schedule; the selection criteria; a list of members of the selection committee, rating panel, or slate of outside reviewers; a statement of the guidance, instructions, and selection criteria provided persons who take part in the selection of fellows; copies of form

letters used in responding to inquiries; and application forms and instructions. Applicants should also describe the center's methods of publicizing the program and should include a list of publications and other addressees receiving announcements as well as copies of announcements and posters used in publicizing the program.

Applicants should also list the stipend amounts and lengths of tenure of the fellowships offered by the center. Applicants should explain whether they offer a set amount for fellows' stipends, match salaries, respond to budgets submitted by fellows, 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.

The kinds of reports requested from fellows should be described as should the results of the most recent assessment of the value to the fellows of the center's program.

In this section, applicants should also provide an annual budget for their complete fellowship program, including funds budgeted from the center's own resources and from other sources. This budget should be divided into categories of expenses similar to those in the NEH budget described in section D of these instructions, and it should clearly distinguish long-term from short-term fellowships. If the center's program now operates with the support of an Endowment grant, the applicant should separate the amounts provided for fellowships by NEH (including outright and matching funds and gifts matched by NEH) from the sums provided by other sources. In addition, the budget should provide information (in terms of funding, number of fellows, and length of tenure) about the extent to which the center can continue its fellowship program, NEH funding aside.

#### 4. Future of the Fellowship Program

Applicants should describe any proposed changes in the center's focus, interests, purposes, scope, or mix of fellows and should explain how these changes will increase the importance of the work done at the center. Any changes in the number of fellows (Endowment-supported and other fellows) or stipend levels needed to achieve the center's purposes should also be explained.

#### D. Proposed Budget

The center 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 break these expenses down, year by year, into the costs of fellowship stipends, travel allowances, printing, postage, travel for members of the selection committee, per diem expenses, etc.

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



## 1. Types of Grant Support

The Endowment provides three types of funding: federal matching funds, outright funds, and a combination of the two.

### Matching Funds

The Endowment is authorized to match gifts made to NEH or gifts that are given directly to an applicant and that will be used to support budgeted project activities during the grant period. Applicants are encouraged to identify potential sources of gift funds at the time they make an application to the Endowment.

Endowment matching funds are awarded on an up to one-for-one basis. The purpose of matching funds is to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts. Because matching funds enable NEH to provide support to a wider range of significant but often costly projects, institutional applicants are encouraged to consider requesting complete or partial funding in the form of a matching grant. Applicants who apply for matching funds support should refer to the attachment, "Eligible Gifts and Donors." Applicants should also note that third-party gifts matched by the Endowment must be used to support six- to twelve-month fellowship stipends and standard allowances, the costs of publicizing the availability of NEH fellowships, or the costs of selecting the fellows.

### Outright Funds

An outright grant is one in which the award of Endowment funds is not contingent on the applicant's raising gifts for the project.

### Combined Funds

Applicants also may request a combination of outright and matching funds from the Endowment. For example, if a project will cost \$85,000 and \$20,000 in gifts will be raised from eligible third parties, the applicant should request \$20,000 in matching funds from the Endowment. Support for the balance of project expenditures (\$45,000) may be requested in outright funds.

It should be noted that, under certain circumstances, the Endowment may offer total or partial matching support to an applicant requesting only outright support.

## 2. 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 gifts that are used to release federal

matching funds, must occur during the grant period. Centers may request funds for periods of from one to three years.

E. Appendices

The appendices should be limited to supplementary but essential materials. These materials should include résumés from the relevant members of the center staff and faculty.

F. Statement of History of Grants

Please complete the enclosed form with this heading.

VI. FORMAL SUBMISSION

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

1. Cover Sheet
2. Table of Contents
3. Narrative Description
4. Budget
5. Appendices (including résumés)
6. Statement of History of Grants

Applicants should submit ten copies of the application (including one copy with the original, signed cover sheet) along with three extra copies of the cover sheet. The complete application package should be mailed to:

Regrants/Centers for Advanced Study  
Division of Research Programs  
National Endowment for the Humanities  
Room 318  
1100 Pennsylvania Avenue, N.W.  
Washington, D.C. 20506

VII. DEADLINE

The complete application package must be postmarked no later than December 1. Receipt of the application will be acknowledged by post card 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 seven months.

# 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; 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.

INSTRUCTIONS FOR COMPLETING THE APPLICATION COVER SHEET

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

Item a. Enter the name and mailing address of the center 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 social security number and date of birth of the applicant.

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

Item e and Item f. Applicants for grants in the Centers for Advanced Study category need not complete these items.

**Block 2--Type of Applicant**

All applicants for grants in the Centers for Advanced Study category should check b.

Identify Type as Center for Advanced Study. Identify Status as either Private Nonprofit or Unit of State or Local Government. Example: Type: Center for Advanced Study. Status: Private Nonprofit.

**Block 3--Type of Application**

Check appropriate type:

Item a. New--application for this project submitted to NEH for the first time.

Item b. Revision and Resubmission--a version of the application for this project was submitted to NEH previously but not funded.

Item c. Renewal--application for funding a new grant period for a project previously funded by NEH.

Item d. Supplement--application for additional funding to a current NEH grant.

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

This information is preprinted on your form. Preprinted forms ensure that the applicant has the correct instructions for the specific program.

If application is being made under one of the Endowment's initiatives described in the guidelines of the Division of Research Programs, please indicate the number corresponding to the initiative in the space provided after Endowment Initiatives:

03C--The Foundations of American Society  
03M--Columbian Quincentenary

#### **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.

#### **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. Indicate the name and title of the person who is authorized to submit applications on behalf of the institution or organization. That person must sign and date the application.

Item c. Indicate here 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 the 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 b), but the actual administration of the project--such as, negotiating the project budget, 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--Federal Debt Status**

Only one signature is required. If Block 2 box "a" was checked, then the individual named in Block 1 shall certify that he or she is not delinquent in repayment of any federal debt. If Block 2 box "b" was checked, then the authorizing official named in Block 11b shall certify that the institution is not delinquent in repayment of any federal debt.

Federal debt is defined as an amount of money or property that has been determined by an appropriate agency official to be owed to the United States from any person, organization, or entity, and is interpreted to include such debts as guaranteed student loans, FHA loans, SBA loans, Department of Education institutional loans, and all other federally backed loans and debts. Delinquent means any account 30 days past due.

In cases where the applicant (either individual or institution) is delinquent on a federal debt, a statement may be attached explaining the circumstances.

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.

**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. Social Security # \_\_\_\_\_ Date of birth \_\_\_\_\_  
(month day yr)

d. Telephone number  
Office: \_\_\_\_\_ Home: \_\_\_\_\_  
(area code) (area code)

e. Major field of applicant or project director Not applicable   
(code)

f. Citizenship  U.S.  Other Not applicable  
(specify)

**2. Type of applicant**

a.  by an individual b.  through an org./institute  
If a. indicate an institutional affiliation, if applicable, on line 11a  
If b. complete block 11 below and indicate here:  
c. Type  
d. Status

**3. Type of application**

a.  new c.  renewal  
b.  revision and resubmission d.  supplement  
If either c or d, indicate previous grant number: \_\_\_\_\_

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

Regrants/Centers for Advanced Study

Endowment Initiatives \_\_\_\_\_  
(code)

**5. Requested grant period**

From: \_\_\_\_\_ To: \_\_\_\_\_  
(month year) (month year)

**6. Project funding**

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

**7. Field of project**

**8. Descriptive title of project**

**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. Name of authorizing official

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

\_\_\_\_\_  
(title)

\_\_\_\_\_  
(signature) (date)

c. Name and mailing address of the institutional grant administrator

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

\_\_\_\_\_  
(city) (state) (zip code)

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

**12. Federal debt status**

I certify that I am not delinquent on repayment of any federal debt.

This institution certifies that it is not delinquent on repayment of any federal debt.

Not Applicable

(signature, person named in Block 1)

(signature, authorizing official named in Block 11b)

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 #  
Initials

## Field of Project Categories and Codes

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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<i>Anthropology</i> L1
Archaeology U6
<i>Archival Management/Conservation</i> I1
<i>Arts, History and Criticism</i> MA
Architecture: History & Criticism U3
Art: History and Criticism M1
Dance: History & Criticism M3
Film: History & Criticism M4
Music: History & Criticism M5
Theater: History & Criticism M2
<i>Communications</i> P2
Composition & Rhetoric P1
Journalism P4
Media P3
<i>Education</i> H1
<i>Ethnic Studies</i> K1
Asian American K5
Black/Afro-American K4
Hispanic American K3
Jewish K6
Native American K2
<i>History</i> 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

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<i>Humanities</i> U8
<i>Interdisciplinary</i> 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
<i>Languages</i> 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
<i>Law/Jurisprudence</i> Q1
<i>Library Science</i> H3
<i>Linguistics</i> J1

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<i>Literature</i> D1
African DK
American DE
Ancient DC
Asian DA
British DD
Classical D2
Comparative D9
French D3
German D4
Latin American D6
Literary Criticism DI
Near Eastern DB
Slavic D7
Spanish D8
<i>Museum Studies/Historic Preservation</i> I2
<i>Philosophy</i> B1
Aesthetics B2
Epistemology B3
Ethics B4
History of Philosophy B5
Logic B6
Metaphysics B7
Non-Western Philosophy B8
<i>Religion</i> E1
Comparative Religion E5
History of Religion E2
Non-Western Religion E4
Philosophy of Religion E3
<i>Social Science</i> 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

	<u>1990-91</u>	
Direct payments to fellows		
Fellowship stipends	\$48,000	[2]*
Travel allowances	2,000	
	<u>50,000</u>	
Publicity		
Printing	1,000	
Postage	1,200	
	<u>2,200</u>	
Selection		
Travel of five committee members	1,500	
Per diem for same for two days	750	
Duplication of applications	40	
	<u>2,290</u>	
Total outlays	54,490	

II. Funding

NEH Outright funds	28,490
NEH Matching funds	13,000
Gifts	13,000
Total Funding	<u>54,490</u>

\* Indicate in brackets the estimated number of NEH fellowships to be funded.

### Statement of History of Grants

If the center 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 center 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.

## Grantee Responsibilities

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

- 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.
- All commitments and obligations of grant funds and cost-sharing contributions are to occur during the grant period.
- Project activities are to be carried out in accordance with the schedule provided in the approved application.
- Changes in the scope and objectives of the project may not be made without prior Endowment approval.
- The replacement of the project director, the codirector, or other professional staff members who are specifically named in the award notice requires prior Endowment approval. Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.
- All procurement transactions are to be conducted in a manner that provides, to the maximum extent practical, open and free competition; for purchases in excess of \$10,000, any use of sole-source contracts must be fully justified and documented.
- Unless otherwise notified in writing, grantees must acknowledge Endowment support in all materials resulting from grant activities.
- If a grantee earns income from grant activities or products that result from grant activities, the Endowment reserves the right to recover a portion of the program income.

## 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 the donors give the gifts 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 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.

## Equal Opportunity

The Code of Federal Regulations, Title 45, Part 1110, implements provisions of Title VI of the Civil Rights Act of 1964, and, along with Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, provides that the National Endowment for the Humanities is responsible for ensuring compliance with and enforcement of public laws prohibiting discrimination because of race, color, national origin, sex, handicap, and age in programs and activities receiving federal assistance from the National Endowment for the Humanities. Any person who believes he or she has been discriminated against in any program, activity, or facility receiving federal assistance from the Endowment should write immediately to the director, Office of Equal Opportunity, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.

### Note:

If a proposed project relates to American Indians, Aleuts, Eskimos, or native Hawaiian people and artifacts, an applicant should obtain from the Endowment a copy of its Code of Ethics concerning native Americans. The code establishes certain standards of conduct in research, publication, and public programs involving native American peoples.