NEH

National
Endowment
for the
Humanities

An Agency
of the
Federal
Government

# DIVISION OF RESEARCH PROGRAMS

# PREFACE

Encouraging scholarship that will have widespread impact on the humanities continues to be the principal goal of the Endowment's Division of Research Programs, as is evident throughout these guidelines. In addition, the division hopes to broaden the range of people who benefit from important scholarly research.

Proposals continue to be encouraged, for example, for the preparation of such reference materials as dictionaries, encyclopedias, and bibliographies, especially those that will be accessible to teachers and students as well as scholars. Applications for editions and translations are particularly welcomed when they lead to annotated volumes that adhere to high standards of scholarship and, simultaneously, contain materials of wide interest. In such ways, and through the recently revamped Publication Subvention category, the division supports research of enduring significance and makes it available to a diverse audience.

The division also wishes to promote scholarly collaboration more strongly than before. The Interpretive Research Program supports multidisciplinary projects and those that present wider perspectives within single disciplines. Increased breadth of understanding is also the goal of the Conferences Program, which welcomes proposals that bring the related work of many scholars to the attention of wider scholarly and nonspecialist audiences.

Applicants should note two important changes in this year's guidelines. First, please note that the eligibility requirements for the Division of Fellowships and Seminars and the Division of Research Programs are newly defined. We believe that the new distinctions between these programs are simpler and result in greater convenience for applicants. Second, a new Archaeology Projects category has been established that will consolidate the review of all applications to NEH that include survey and excavation components.

If you have suggestions for the improvement of the programs, guidelines, or procedures of the Division of Research Programs, please write to the director of the division.

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# I.
# THE DIVISION OF
# RESEARCH PROGRAMS

The purpose of the Endowment's Division of Research Programs is to strengthen the intellectual foundations of the humanities through the support of important and influential research. The division provides support for the preparation for publication of texts and documents in the humanities, for the organization of research collections and the preparation of reference materials, for large, interpretive studies, for research conferences, and for the development of research opportunities through specific programs conducted by scholarly organizations and independent research centers. The division operates through seven programs: Texts, Reference Materials, Interpretive Research—each of which contains two or more categories of support—Conferences, Centers for Advanced Study, International Research, and Selected Areas.

Although the Division of Research Programs provides support for a wide range of projects, the Endowment's role represents only a small part of the nation's efforts in advanced scholarly research in the humanities. The Endowment actively encourages nonfederal support for humanities projects by making matching offers to stimulate private giving. In all cases, Endowment support is restricted to projects that are exemplary, demonstrably significant, and both productive and efficient in their use of human and material resources.

# II.
# DEFINITION OF THE HUMANITIES

In the act that established the National Endowment for the Humanities, the term *humanities* includes, but is not limited to, the study of the following disciplines: history; philosophy; languages; linguistics; literature; archaeology; jurisprudence; the history, theory, and criticism of the arts; ethics; comparative religion; and those aspects of the social sciences that employ historical or philosophical approaches.

Work in the creative or performing arts—such as the writing of fiction or poetry, painting, sculpture, musical composition or performance, 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.

Studies in the social sciences that involve questions of interpretation or criticism traditionally in the humanities are also eligible for NEH support, as are studies that use the disciplines of the humanities to interpret, analyze, or assess science and technology.

# III.
## ELIGIBILITY

All projects designed to further research in the humanities and submitted by nonprofit institutions and organizations in the United States are eligible for support. In addition, applications from individuals are eligible in certain funding categories.

U.S. citizens are eligible to apply, as are foreign nationals who have been living in the United States or its territories for at least three years at the time of application. Foreign nationals who do not meet the residency requirement may apply if they are formally affiliated with an eligible institution in the United States and apply through that institution.

All applicants are encouraged to correspond with the Endowment staff early in their planning about questions of eligibility. Applicants should also bear in mind that eligibility does not ensure that an application will be competitive in the review process.

The division does *not* provide support 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 advocate or promote a particular political, ideological, religious, or partisan point of view;

renovation or restoration costs;

computer hardware or other permanent equipment costs, unless such costs are necessary to the completion of a project with other main purposes.

# IV.
## THE ISSUE OF SIGNIFICANCE

Virtually everything human beings have done or said provides food for thought; nothing human is alien to the thoughtful person. Yet not everything done or said is *equally* deserving of thought and study, let alone equally deserving of study at public expense. In the evaluation of proposals for research in the humanities submitted to the Division of Research Programs, questions of importance or significance necessarily arise; and answers to these questions—the "so what?" questions—play a role in funding decisions. To help evaluators assess these matters, applicants are asked to answer the following:

1. Why do you consider this work to be important?
2. What difference will the results make, and to whom?

# V.

## DISTINCTIONS BETWEEN THE DIVISION OF RESEARCH PROGRAMS AND THE DIVISION OF FELLOWSHIPS AND SEMINARS

Two divisions of the National Endowment for the Humanities support scholarly research: the Division of Research Programs and the Division of Fellowships and Seminars.

Projects that are submitted by an institution, *or* are longer than one year in duration, *or* consist of costs in addition to salary support for the project director are considered only through the Division of Research Programs.

The Division of Fellowships and Seminars, on the other hand, reviews proposals for research projects that are submitted by an individual, *and* request one year or less of support, *and* are confined exclusively to salary costs for the individual project director.

The single exception to this policy is the field of archaeology. Proposals for support of the writing-up stage of excavation results are eligible in both divisions, subject to the distinctions noted in the previous paragraphs. All proposals that include survey or excavation components, including those from individuals, must be submitted only to the Archaeology Projects category in the Division of Research Programs.

Proposals submitted to the inappropriate division will be declared ineligible, and applicants will be required to wait until the next deadline of the appropriate program in order to apply. For this reason, applicants who are unsure about the appropriate program to which they should apply should consult with an Endowment staff member as early as possible.

Fellowships and small research awards are also available from a number of NEH-supported centers for advanced study and national scholarly organizations. See pages 31-32 of this booklet for further information.

# VI.

## TEXTS

This program provides support for the preparation for publication of texts that promise to make major contributions to the study of the humanities. Support is available in three categories: Editions, Translations, and Publication Subvention. In all three categories, the Endowment supports only those projects that are of demonstrable significance and that reflect the highest standards of scholarship. Applications are most competitive if they demonstrate that the texts to be produced will be of value to a diverse audience. The program does not support the preparation of textbooks.

### A. EDITIONS

Grants in this category assist in various stages of the preparation of authoritative and annotated editions of works and documents of value to humanities scholars and general readers. NEH supports projects that make available important texts and documents that have been either previously unavailable or accessible only in seriously flawed editions. All printed editions aided by the Endowment are accompanied by critical introductions and annotations that provide essential information about the form, transmission, and historical and intellectual context of the texts and documents involved.

Because complete editions in printed volumes are expensive to produce, Endowment reviewers frequently recommend selected editions, microform editions, or editions that combine printed volumes and microform. Applicants must demonstrate that the form proposed for the edition will adequately serve the intended audience without incurring unnecessary expense in the course of preparation. Applicants for microform editions must also demonstrate that the project will make available materials dispersed among a number of repositories. Applicants who intend to microfilm materials from a single repository for the purpose of scholarly access only should discuss their projects with the staff in the Access category of the Reference Materials Program.

Awards in the Editions category are made for up to three years and usually range from $25,000 to $100,000 per year, with the amount of the award dependent on the scope and importance of the project. Applicants with complex projects are especially encouraged to consult with a member of the program staff before a final application is submitted. For institutional applicants, the Endowment's contribution to a project generally will not exceed 80 percent of the project's total costs. All applicants are encouraged to seek full or partial support through federal matching funds, described in section XV of this booklet.

**Example**

An independent scholar applies for support to supervise an international team of researchers who are preparing facsimile editions of the holograph literary manuscripts of Shelley, Keats, and Byron in the Bodleian Library and in other collections. Twenty of a projected twenty-nine volumes have been completed. Extensive use by scholars has caused deterioration of the manuscripts, and some of the manuscript materials have never been published. By providing high quality facsimiles accompanied by transcriptions, bibliographic descriptions, and textual notes and commentaries, the edition will help to preserve the originals and disseminate a complete record of these important manuscripts of the romantic period. Over a three-year period, the project director will edit two volumes and supervise the preparation and publication of the remaining volumes. The project budget includes partial salary for the project director and a research assistant and limited amounts for travel and supplies.

**Example**

A state university applies for support to continue work on an edition of the papers of George Washington. A six-volume edition of Washington's diaries has been completed. Three editors, under the supervision of the project director, are now editing the bulk of the Washington documents to be published in four series. These series will focus on the colonial period, the revolutionary war, the confederation period, and Washington's presidency. Thirteen volumes in these four series have been published, and seven more will be completed during the grant period. With the aid of a private foundation, the project has also begun work on a CD-ROM edition of the papers. By 1993 a preliminary transcription of the more than 140,000 Washington documents will be available on a laser disk. Not only will the laser disk benefit the scholarly community at large, it will also be a valuable research tool for the editors as they complete work on the printed edition. A substantial portion of the project's support will come from its home institution and third-party contributions. The project budget includes salaries for the editors and a small administrative staff, supplies, and services.

**Questions for Review of Applications**

1. In what respects will the edition be of significance to the field and to the humanities in general?

2. How appropriate are the qualifications and experience of the staff?

3. How thorough and realistic is the project's overall work plan? Is the proposed organization of the staff likely to ensure high productivity?

4. How thorough and efficient is the plan for the collection of the materials for the edition? What criteria will inform the selection of materials for inclusion in the edition?

5. How persuasively does the proposal justify the principles to be followed in the transcription of the materials? What approach will be taken to establish the text where more than one state or form of the materials exists?

6. How well do the samples of text and apparatus demonstrate the importance of the material to be edited, the ability of the editor to prepare an accurate transcription, and the appropriateness of the proposed editorial methods?

7. In what ways will the critical apparatus be of value to scholars or general readers or both? What levels of access will be provided by the edition's index or indices?

8. How convincing is the proposal's case for the final form (printed volumes, microform, or some combination of the two) to be taken by the edition?

9. If a publisher has been selected, how will the press be involved in planning for publication?

10. How cost effective is the project? Is the budget appropriate for the scope of the proposed activities?

11. If the proposal is a renewal application, what evidence does the application provide that the project has met or surpassed the goals that were established in the previous proposal, including the goals of quality, productivity, and cost effectiveness? How convincing is the case for additional federal support? How successful has the project been in attracting nonfederal support?

## B. TRANSLATIONS

In this category, the Endowment supports individual or collaborative projects to translate into English works that provide insight into the

history, literature, philosophy, and artistic achievements of other cultures and that make available to scholars, students, teachers, and the public the thought and learning of those civilizations. Applicants may propose to translate from any language, and the texts to be translated may be either primary sources or secondary works. Of particular interest are projects that would make available to students and general readers major texts and other documentary records of civilization and culture. Eligible projects include translations of significant single works, the complete works of a writer or school, and collections or anthologies. All applicants must make a convincing case for the significance of the works to be translated both for the civilizations or cultures that produced them and for an English-speaking audience.

All translations supported by the Endowment provide introductions and explanatory annotations that clearly establish the historical and intellectual contexts of the work. If a definitive edition of the work does not exist, applicants should be prepared to establish an authoritative text. All translation applications must be accompanied by a five-page sample of the translation to be undertaken during the course of the grant, as well as examples of the annotation and a discussion of the commentary that will accompany the finished translation.

Applications for the retranslation of works that are already available in English may be justified if the available translation was prepared from a flawed text, or if the translation is itself flawed. Retranslations must be accompanied by critical apparatus. A classic work in one of the disciplines of the humanities also may be appropriate for retranslation if the dated English of the available translation impedes the reader's understanding and enjoyment of the work.

Grant awards in this category usually range from $10,000 to $100,000, depending on the scope and magnitude of the project. For institutional applicants, the Endowment's support of a translation project generally will not exceed 80 percent of the project's total costs. Applicants are encouraged to seek support from appropriate foreign governments and foundations and are encouraged to apply for federal matching funds, described in section XV of this booklet.

## Example

An individual scholar with a new collation of manuscript sources, prepares a retranslation from Old French of the major narrative poems of Chrétien de Troyes. The existing translation, prepared seventy years ago, was based on an incomplete and flawed original and is

marred by a stilted and dated style. The new translation makes the poems readily accessible to the educated public and benefits literary scholars and medievalists for whom Chrétien constitutes a major source for the period. The translation is accompanied by a comprehensive introduction for general readers, while the notes reflect the scholarship that established the full edition of the poems. The project budget includes salaries, travel, clerical assistance, and a consultant.

## Example

Convinced that lack of access to primary materials and the need to know many languages has hampered research and teaching of African cultures and civilizations, a group of scholars propose to collect and translate a series of important texts from several different African cultures. In the first stage of this endeavor, six scholars from different disciplines propose to translate core texts that can be used by students to explore African culture and by researchers to supply information that can be used for comparative analyses. The first volumes chosen for translation focus on central Africa and include annotated translations of an Arabic chronicle of the seventeenth century; legal records; an indigenous source of African historiography; and a collection of Swahili poems that, because they served as the primary form for political debate and diplomatic correspondence, constitute both a literary and a historical source. Each volume will contain an introduction that places the work in context; the volumes are to be published in paperback editions. The applicant institution will absorb administrative costs and the costs of foreign travel. The project budget includes costs for released time for the project director, salary support for the translators and research assistants, fees for the native consultants, administrative expenses, and travel.

## Questions for Review of Applications

1. How convincing is the proposal's statement of the significance of the work?

2. How appropriate are the qualifications and experience of the project director and staff to the project? Does the application reflect an awareness of scholarship in the field?

3. How accurate and readable is the translation sample?

4. How well do the sample annotations elucidate the text? How will the proposed introduction contribute to the reader's understanding of the original work? In what ways will this critical apparatus make the work accessible to a wider audience?

5. What is the state of the original text or texts? If the applicant proposes to prepare a critical edition, how appropriate are the editorial principles to be followed in establishing an authoritative text or in emending an existing version?

6. Is the project well planned and is the budget appropriate for the proposed activities?

7. If the proposal is a renewal application, what evidence does the application provide that the project has met or surpassed the goals that were established in the previous proposal, including the goals of quality, productivity, and cost effectiveness? How convincing is the case for additional federal support? How successful has the project been in attracting nonfederal support?

## C. PUBLICATION SUBVENTION

Grants of $7,000 per volume are available to support the publication and dissemination of excellent scholarly books in all fields of the humanities. In order to be competitive, a book that is the subject of an application must be intellectually important to scholars and, if possible, nonspecialists. Interpretive studies, reference works, editions, and regional titles are all eligible subjects for applications in this category.

Applications are particularly encouraged for support of books of lasting value. Whether the book is likely to represent a financial loss to the press is not a factor in the review process. Revised dissertations and other narrowly conceived monographs are unlikely to prove competitive unless they are of exceptionally high quality. The Endowment's evaluation of the application will rely on review by a panel comprised of scholars and publishers. Applications will be judged on the basis of the significance of the work and the quality of its scholarship. Both the author's statement about the work's significance and the publisher's readers' reports are of critical importance in this assessment. In rare cases, the application, including readers' reports, may be evaluated by additional specialist reviewers. No preference will be given to projects that have received previous NEH support.

Applicants must be established publishers or scholarly publishing entities that have their place of business in the United States. Trade publishers of scholarly books, university presses, and scholarly publishers other than university presses (such as museums, historical societies, and monograph series) are all eligible to apply. Applications from individuals are not eligible. A publisher will not be awarded more than $28,000 during an application cycle.

### Example

A university press applies for a subvention to publish a comprehensive study of the Hellenistic era. The author is a senior historian who provides a detailed description and analysis of politics, literature, philosophy, religion, and science. This synthesis of existing scholarship will provide a broad general audience with access to the most recent research findings in classical studies. The press plans a print run of 4,000 copies to be distributed in the United States; a paperback edition of the volume will be published later for use by students.

### Example

A museum's publishing program requests support to publish an innovative study of the art of a native American tribe located in the northwestern United States. Drawing on detailed ethnographic research, the author challenges previous scholarly conclusions that religious beliefs inspired the artists. Using copious photographs, she demonstrates that the artists were motivated by their society's need to differentiate visibly between kinship and economic groups. Clan membership and the desire to affirm social dominance, rather than religion or nature, explain the artists' choices of media and motifs. The volume will be of importance to art historians, scholars in native American studies, and social historians in many specializations.

### Questions for Review of Applications

1. What evidence does the application provide of the significance of the work to be published and of its intellectual quality? How is the work related to other important scholarly works published in the field?

2. In what respects will the published work be of compelling importance and lasting value to scholars in the humanities, students, and other readers?

3. If the work to be published is an edition, a translation, or a reference work, how well does it fulfill the Endowment's criteria for review in those categories of support?

4. How convincing is the proposal's case for the final form (typeset volume, camera-ready typescript, microform, etc.) of the publication? Does the applicant provide evidence that the basic standards of durability and permanence in the manufacture of the publication will be observed?

5. How will the press use NEH support to help the work reach the widest possible audience?

# VII.
# REFERENCE MATERIALS

The purpose of this program is to provide support for projects that will facilitate scholarly research in the humanities by organizing essential resources and by preparing reference works that improve scholars' access to information and collections. Support is available in two categories: Tools and Access. These categories share similar goals but differ in their methodologies and in the nature and form of the final results. In both categories, the Endowment is interested in supporting projects involving significant materials that are likely to be used for a wide range of scholarly research projects and for general reference. The program also entertains proposals for improving the methods for making information widely available.

## A. TOOLS

Grants in this category support the creation of dictionaries, historical or linguistic atlases, encyclopedias, concordances, *catalogues raisonnés*, reference grammars, descriptive catalogues, data bases (other than bibliographic data bases), and other materials that codify information essential to research in the humanities.

Applicants must make a convincing case for the importance of the project and for the way in which information will be organized and presented; in addition, applicants must demonstrate that the form chosen for the proposed research tool (printed volume, microform, electronic media, etc.) represents the most effective means of disseminating the information.

Awards can be made for periods up to three years and typically range from less than $20,000 to more than $200,000, depending on the scope of the project. Applicants with complex projects are especially encouraged to consult with a member of the program staff before a final application is submitted. For institutional applicants, the Endowment's contribution to a project normally will not exceed 80 percent of the project's total costs. All applicants are encouraged to seek full or partial support through federal matching funds, described in section XV of this booklet.

### Example

A group of scholars at a college proposes a computerized full-text data base of Dante's *Divine Comedy*. The data base includes the text of the poem and sixty core commentaries—line-by-line examinations of the 15,000 lines of the *Commedia*—written since the poet's death. Users of the data base will be able to reduce significantly the amount of

time necessary to analyze the poem and to examine its reception during the past six centuries. Scholars will also be able to gain access to many commentaries that were formerly available only in a few universities and major research libraries throughout the world. The project team selects important commentaries and those that are not widely available. The texts are encoded electronically and proofread by the project staff. A computer expert designs a retrieval system so that scholars can search the data base using a personal computer to connect to the college's mainframe computer. The project staff explores alternate modes of electronic dissemination such as optical disc and plans seminars to instruct scholars and teachers in the use of the data base. The project budget includes salaries, supplies, and computer costs.

## Example

An international team of scholars at several private universities requests a grant to prepare a comprehensive dictionary of Aramaic, one of the major languages of antiquity. The lexicon covers all dialects and periods of the language with the exception of modern, spoken Aramaic. In the initial stages, the editors select an international advisory board and secure the collaboration of consultants and contributing lexicographers, many of whom donate computerized lexical material to the project. The project prepares an outline lexicon, a bibliography of Aramaic texts, a manual for contributors, and computer programs for dictionary preparation. The project staff proceeds to develop an electronic data base of the texts from which the dictionary entries will be selected. Because the lexicographical work is a long-term effort, the editors plan to publish interim works such as concordances and text editions from the lexical corpus. The project budget includes salaries, travel, supplies, and computer costs.

## Questions for Review of Applications

1. What will be the intellectual contribution and significance of this project? What audiences will benefit?

2. How does the proposed tool complement similar reference materials already available?

3. How appropriate are the qualifications and experience of the project staff?

4. How thorough and realistic is the project's overall work plan? Are the proposed administrative organization and editorial procedures likely to ensure high productivity?

5. What criteria will govern the selection of materials for inclusion in the project, and what principles will determine the content and format of individual entries? If there are specific standards that normally govern the kind of research tool to be produced by the project, how does the project conform to or differ from the existing models?

6. If the project is a language dictionary, how effective are the procedures that have been established to ensure that the editing, transcription, and transliteration of the original material will be accurate and that the range and history of a word's usage will be illustrated completely?

7. If the project is an encyclopedia or historical dictionary, how persuasively does the proposal explain and justify the way in which primary sources as well as secondary works will be used? How extensive and useful are the planned bibliographic citations and cross-references? How will individual entries be assigned and evaluated? How satisfactory is the proposed procedure for verifying facts or bibliographic citations?

8. How convincing is the proposal's case for the form of the completed project (printed volumes, microform, electronic media, etc.)? If publication is intended, has an agreement been reached with an appropriate publisher?

9. How cost effective is the project? Is the budget appropriate for the scope of the proposed activities?

10. If the proposal is a renewal application, what evidence does the application provide that the project has met or surpassed the goals that were established in the previous proposal, including the goals of quality, productivity, and cost effectiveness? How convincing is the case for additional federal support? How successful has the project been in attracting nonfederal support?

## B. ACCESS

In this category, the Endowment supports projects that promise to increase the availability of important research collections and other significant source material in all fields of the humanities. Priority is given

to projects that will provide access to materials that are national in scope or impact. Support is provided for such activities as archival arrangement and description; bibliographies (including bibliographic data bases); records surveys; cataloguing projects involving print, graphic, film, sound, and artifact collections; indices; and other guides to materials in the humanities. For these kinds of projects, an applicant must demonstrate that the proposed level and form of description provide appropriate and cost-effective means of gaining control over the collections or materials involved.

In addition, support is provided for the development of national standards for access to the various types of scholarly resources and for projects that promise to improve in important ways the methods for making research documentation available. Projects for archival arrangement and description that include the microfilming of unique materials are also eligible for support, as are projects to microfilm important collections in foreign repositories that are largely inaccessible to American scholars. Some support for other preservation-related activities is available if these activities are distinctly subordinate to the primary goal of improving access. Applications for support to microfilm or to preserve collections that have already been adequately arranged and described should be submitted to the Endowment's Office of Preservation. An applicant who is uncertain which NEH program is more appropriate for a particular project should confer with an NEH staff member.

The Access category particularly encourages applications for projects for the preparation of guides and surveys. These projects should be designed to help scholars locate materials in subject areas or disciplines other than their own or learn of new sources. Potential projects include guides to the literature of a broadly conceived topic or field, surveys of unpublished source materials on a particular subject, and reviews of the status of documentation in specific fields.

Historically black colleges and universities with important institutional collections of primary source materials relating to the history of education, African American studies, or other subjects are also encouraged to apply for support. The Endowment is especially interested in projects that involve planning for the initial organization of an institution's resources and in projects that will implement previously developed plans for arranging and describing archival collections.

Awards can provide up to three years of support and usually range from $20,000 to $150,000, depending on the scope of the project. Ap-

plicants whose projects are complex are especially encouraged to consult with a member of the program staff before a final application is submitted. Normally, the Endowment's contribution to projects that focus on an applicant institution's own holdings will not exceed 50 percent of the project's total costs. Support for other projects usually will not exceed 80 percent of the total costs. All applicants are encouraged to seek full or partial support through federal matching funds, described in section XV of this booklet.

### Example

A state historical agency requests funding to support the appraisal, arrangement, and description of the records of fourteen large American manufacturing firms, industries, and trade associations. Chosen after a thorough review of the agency's unprocessed material, the collections document textile, shipbuilding, lumbering, and brewing enterprises that were prominent in the history of American business between the Civil War and the Depression. In addition, these collections complement the repository's strong holdings in labor history and its extensive business-related public records. The two-year project will produce inventories for each of the collections and will catalogue records in the MARC-AMC format for incorporation into a national data base. The inventories will be added to the *National Inventory of Documentary Sources in the United States,* and descriptions of each collection will be submitted to the *National Union Catalog of Manuscript Collections* and to various scholarly journals. The project budget includes salaries and fringe benefits for a full-time professional archivist and paraprofessional support staff; the state historical agency contributes the costs of supervisory personnel, archival supplies, and cataloguing services.

### Example

A university seeks funding to support the compilation of a research guide to sources in the United States for Latin American and Caribbean studies. Organized by research disciplines, the publication is intended to foster comparative study as well as to assist work in single fields of the humanities. The guide will include annotated bibliographic entries and thematic essays contributed by humanities scholars. The essays will discuss available primary and secondary source material in the context of research trends and needs. The bibliographic citations and narrative descriptions of special collections

will be compiled by Latin American library and archival specialists. The project budget includes salaries and fringe benefits for the editor, an assistant, and a consultant; travel costs for two meetings of the project's editorial board; and support services. The university contributes consulting assistance and supplies. The project also receives partial support from a major professional organization in the field of Latin American studies.

## Questions for Review of Applications

1. What will be the intellectual impact and significance of the results of the project? What groups or audiences will the results affect?

2. How does the project complement existing reference materials?

3. How appropriate and effective is the proposed methodology in creating or improving access to the materials?

4. What criteria will be used to select material for inclusion in the project? Are these criteria appropriate for the materials and for the goals of the project?

5. How appropriate and efficient are the project's proposed level and form of description?

6. How is the project related to the applicant institution's current operations and long-term goals? How will the collection be maintained when the project is completed?

7. How appropriate are the qualifications and experience of the staff for this project?

8. How thorough, realistic, and efficient is the overall work plan?

9. How convincing is the case for the format of the project's results? Does it represent the most effective means of providing the information to users?

10. How cost effective is the project? Is the budget appropriate for the scope of the proposed activities?

11. If the proposal is a renewal application, what evidence does the application provide that the project has met or surpassed the goals that were established in the previous proposal, including the goals of quality, productivity, and cost effectiveness? How convincing is the case for additional federal support? How successful has the project been in attracting nonfederal support?

# VIII.
# INTERPRETIVE RESEARCH

The purpose of this program is to support advanced scholarly research projects that represent major syntheses or interpretations. Because of their intellectual scope, complexity, size, or duration, Interpretive Research projects are readily distinguishable from individual one-year fellowships. (Please see page 4 for a detailed explanation of the differences between the two kinds of support.) Grants are awarded in three categories: Collaborative Projects; Archaeology Projects; and Humanities, Science and Technology.

The guidelines for the Interpretive Research Program are intended to encourage applicants to build upon existing scholarship, to address the problems of intellectual fragmentation, to use comparative or interdisciplinary approaches, and to aim for comprehensive treatment of broad topics. Projects may require various combinations of scholars, consultants, informants, and research assistants; project-related travel; and technical support and services. Grants support full-time or part-time activities or combinations thereof for periods of up to three years. All projects are expected to lead to significant publications.

## A. COLLABORATIVE PROJECTS

Grants in this category support major collaborative or coordinated projects that will have a significant impact on scholarship in the humanities. The Endowment is especially interested in projects that synthesize work on important scholarly and intellectual issues. A collaboration involves two or more scholars in the same or different disciplines: consultants and research assistants may be used, but their employment is not sufficient to define a project as collaborative. An applicant must make a convincing case for the importance of the project, present a sound methodology and plan of work, and demonstrate that staff and institutional resources appropriate to the project's goals are available.

Applications are especially encouraged for research in history, philosophy, and other basic humanities disciplines; historical and analytical studies in literature and the arts; biographies; focused interdisciplinary studies; and other undertakings that promise to develop, refine, or support integrated studies in the humanities.

Budgets should be appropriate to the range of proposed activities. Institutional cost sharing is expected to be at least 20 percent of the project's total costs. Awards normally range from $10,000 to $200,000 over a maximum grant period of three years. Applicants are urged to seek all or part of their NEH support through federal matching funds, described in section XV of this booklet. Prospective applicants are en-

couraged to consult with a member of the program staff before a formal application is submitted.

## Example

A collaborative team of scholars has met several times to discuss the creation of a volume on the history of Southern literature from colonial times through the 1970s. They choose an editorial board of seven distinguished scholars in the field and assign chapter topics to fifteen academics and writers. The primary motive of the research is to provide the first comprehensive survey of the literature of the American South. An earlier history published in the 1950s provided a thorough account through the nineteenth century but covered in cursory fashion the literature after 1900 and obviously could not anticipate the flourishing of Southern literature since 1960. The new volume will also include African American writers in the South. The project has received a publishing contract from a major state university press. The project organizers request support for research, writing, editing, and travel costs for semi-annual editorial meetings.

## Example

A state university requests partial support for a comparative study of the social and political evolution of Islamic society in Damascus and Aleppo from the time of the Arab conquest to the Mongol invasion. The study will concentrate on a central issue in the development of Islamic societies: the role of the notables as an intermediary class who acted as both leaders of the common people and members of the government. The research team, composed of three historians, an Islamic literature specialist, and an architectural historian, will gather information from two medieval Islamic biographical dictionaries, geographical texts, chronicles, and archaeological and epigraphical data. In response to the American team's initial efforts, a British group has offered to collaborate by working on an earlier period and providing the data in computerized form. The project's results will include a computerized data base, a complete table of contents for the biographical dictionaries, presentations of preliminary results at professional meetings and in jointly-authored articles, and monographs on the emergence of the intermediary notable class in Damascus and Aleppo. The budget requests support for partial salary support, fringe benefits, consultant fees, travel to archives, and office supplies and services.

## Questions for Review of Applications

1. In what respects will the project be significant to humanities scholars, students, and other readers?

2. How does the proposal build on existing scholarship in the field or fields involved? Does the project lead to a more integrated understanding of its subject?

3. What is the collaborative design of the project? Does it persuasively make the case that the project could not be undertaken or completed with significant results without such an integrated approach? Is the final product substantially enriched, extended, and deepened by its collaborative nature?

4. How clearly have the research questions been formulated? How convincingly does the proposal define and justify the project's methodology? How appropriate and specific is the project's work plan?

5. How appropriate are the qualifications, experience, and responsibilities of the project team in relation to the project's goals? How carefully and cost effectively does the proposal assign responsibility and expertise to the various staff members of the project, especially if their levels of training and experience are different? (This question is of particular importance for projects contemplating the use of research assistants or graduate students.)

6. Do the applicants demonstrate a thorough knowledge of the nature and location of the necessary source material? How effectively will the project make use of this material? Will the applicants be able to gain access to the source material?

7. Will the project result in significant publications? How thoroughly planned are these publications?

8. Are the expenditures clearly related to the research design? How cost effective will the project be? Is institutional cost sharing indicative of genuine institutional commitment?

## B. ARCHAEOLOGY PROJECTS

The Endowment supports archaeology projects that promise to strengthen understanding of history and culture. The Endowment is particularly interested in projects that focus on preparing the results of excavations for scholarly and popular publications. Support is also available for foreign and American archaeological fieldwork, survey,

excavation, materials analysis, laboratory research, artifact preservation, and field reports. Applicants who seek funding for major excavations should have completed a preliminary survey. If a survey has not been made, the research team may request a grant for a preparatory investigation. Support is available for site and artifact conservation only if these elements are an integral part of a larger project that focuses on problems of research and interpretation in the humanities. Proposals that focus exclusively on materials analysis should be submitted to the National Science Foundation.

The Endowment will support projects that include survey and excavation components with outright funds of up to $15,000 per year; additional support is available only through federal matching funds. In no case will NEH support for archaeological excavation or survey projects exceed 50 percent of total project costs. For example, if the cost of a one-year excavation project will be $50,000, the applicant may not request more than $25,000 in total support from the Endowment ($15,000 maximum in outright funds and the remainder in federal matching funds).

## Example

A team of historical archaeologists and historians proposes a collaborative study of the earliest sustained interactions between Spanish colonists and the native cultures of Peru. Previous archaeological work in Peru has identified more than 100 ruins of stone churches and wineries that produced wine for Catholic church services. Because of the importance of Catholicism in the dissemination of Spanish culture in the New World, these ruins will provide vital data on the spread of that culture. The archaeologists will excavate and date a number of structures in order to trace a historical sequence, and the historians will analyze archival documents from the sixteenth through the eighteenth centuries to determine the history of land holdings and the interaction between the two cultures. As the research progresses, the team will circulate data and preliminary reports, compare the results of archaeological dating with historical records, discuss initial findings in regular working conferences, and publish articles in scholarly journals. The project budget includes costs of partial support for the scholars' salaries, supplies, travel to Peru and Spain, fees for laborers, and expenses for the analysis of artifacts. The applicants

request a portion of the project costs in federal matching funds, confident that a regional foundation will also support the project.

## Example

A university museum proposes to reinterpret records from excavations conducted during the 1920s on a fourth millenium B.C. site, Tepe Gawra, in northern Iraq. The proposed monograph will trace the history of the town, which was located in a border zone between Mesopotamia and Assyria, over a thousand-year time span. The previously unpublished data should reveal new information on social and economic organization and will correct and amplify knowledge of the site's architecture, stratification, and artifactual remains. The research team is confident that the patterns of development identified will offer interested readers a better understanding of the agricultural and nomadic groups who supported the main urban centers in the ancient Near East. The budget includes costs of partial salaries and fringe benefits for the research team, office supplies, the services of an illustrator and photographer, and indirect costs. A university press has agreed to publish the monograph.

## Questions for Review of Applications

1. In what ways will the project be significant to humanities scholars, students, and other readers? What is the historical importance of the site? *Significance*

2. How does the proposal build on existing scholarship? Does the project lead to a more integrated understanding of its subject? *Scholarship*

3. How well is the archaeological data linked to the project's interpretive questions? What is the relationship between the project's theoretical goals and the field methodology? How appropriate are the qualifications, experience, and responsibilities of the staff in relation to the project's goals? *Theory, Method, Qualifications*

4. In what ways will the proposed format promote collaboration? How will the final product draw on the theories and methods of the various fields of the collaborators? *Collaboration*

5. How convincingly does the proposal justify the project's methodology? How well will the work plan promote the description and interpretation of the data? *Efficacy*

6. Does the applicant demonstrate a thorough knowledge of the *Knowledge* nature and location of the site and related source material? Will the *Access* applicant be able to obtain appropriate permits and access to the source material? How effectively will the project make use of the archival materials and data from related projects?

7. Will the project result in significant publications? How thoroughly *Publication* planned are these publications?

8. Are the expenditures clearly related to the research design? How *Expense* cost effective will the project be?

9. If the project will last beyond the requested period of the current *Future* application, what are the long-range plans and expected results of the research? Is it likely that the applicant institution and other nonfederal *Plans* sources of support will increase their cost sharing in the future?

## C. HUMANITIES, SCIENCE AND TECHNOLOGY

Grants in the Humanities, Science and Technology category support research that brings to bear the knowledge, methods, and perspectives of the humanities on the subjects of science, technology, and medicine. Historical studies and studies of current topics are eligible. However, studies of current science, technology, or medicine must deal with fundamental issues in the humanities. Individuals and institutions are eligible to apply for projects that, because of their scope, complexity, or duration, cannot be accomplished through one-year fellowships. The Endowment also encourages studies that promote the collaboration of humanities scholars with scientists as well as projects that promise to improve interdisciplinary approaches to research. Grants may be awarded for periods of up to three years. All projects are expected to lead to major publications.

Support is available for research in many areas of inquiry that include, but are not limited to, the form, content, and purposes of scientific knowledge; the processes through which scientific knowledge is developed; the invention, innovation, and transfer of technology; the social, moral, and legal meaning of specific scientific and technological innovations; the interaction among sciences, technology, medicine, and other elements of culture; and the methods and concepts that the humanities use to study science, technology, and medicine. The Endowment supports projects that employ historical and philosophical approaches to the social sciences but does not support empirical social scientific research, specific policy studies, or technical impact assessments.

Awards normally range from $10,000 to $200,000, and the use of federal matching funds is encouraged (see section XV of this booklet). For institutional applicants, the Endowment's contribution to a project normally will not exceed 80 percent of the project's total costs. Potential applicants should consult with a member of the staff before a formal application is submitted.

In addition to proposals for research, the category also welcomes applications for the preparation of guided studies of historically significant scientific writings from antiquity to the twentieth century. Support is available for full- or part-time activities for periods of up to three years and can include salaries, supplies, and other costs associated with the preparation of one or more volumes. These volumes make accessible to general readers and undergraduate students the writings of past scientists and enable those with little or no previous experience in the history of science to appreciate, for example, how earlier scientists formulated questions about nature, expressed new concepts, and devised answers to those questions.

A guided study would include extensive selections from one or more texts that are chosen for their usefulness in illuminating fundamental concepts and creative approaches. These texts may be important for the questions they raise or as a demonstration of how a later work builds upon or departs radically from an earlier work. A guided study should not be an introductory history of scientific ideas or a synopsis of the chosen texts but should be a companion text with any needed overviews, outlines, diagrams, glosses, or explanations. The guide may elaborate on the text, make explicit for readers what is implied in the selections, explain difficult scientific or mathematical concepts, comment on the use of important terms, highlight key passages, or retranslate the selections. What is appropriate for a specific guided study will depend on what needs to be provided to readers who are willing to expend effort to understand these texts but who are inexperienced in reading historical scientific writings.

### Example

A historian of medicine proposes to write a comprehensive history of the Islamic hospital from the Middle Ages through the eighteenth century. The proposal justifies the project as of fundamental impor-

tance to an understanding of the development of Western medicine and health institutions and as a study in cross-cultural history. The three-year project includes extensive use of Byzantine and Islamic medical manuscripts in repositories in the Middle East and England. The project budget includes costs for the project director's salary, consultants' and translators' fees, travel, supplies, equipment rental, and clerical assistance. The project director's university contributes 20 percent of the project's costs in the first year, 40 percent in the second year, and 60 percent in the third year. Arrangements have been made for the resultant volume to be published by a university press.

### Example

Two scholars will work together to prepare a commentary on selections from the mathematical writings of Apollonius and Descartes, which will demonstrate the transformation of Apollonius's classical work on conic sections into modern mathematics by Descartes. The resultant single-volume guided study will enable the texts to be read with profit by those with little or no background in the history of mathematics. The project budget includes costs for partial salaries, the preparation of diagrams to accompany the texts, and supplies. Collaboration is planned for six months at one institution, after which the two scholars will separately write sections of the proposed guided study.

### Example

A historian of science and a scholar of nineteenth-century literature propose a study of popular scientific instruments including the camera obscura, the magic lantern, and the aeolian harp. The project will show that the instruments served as vehicles of popular and poetic imagination and as representations of science for the general public. The two collaborators, from separate institutions, will examine surviving instruments in several museums and libraries as well as the personal papers of the inventors and users of the instruments. The use and cultural significance of these instruments at the intersection of science, literature, and the tradition of natural magic promises an important new dimension to the understanding of early nineteenth-century science. The project budget includes costs of released time for the two scholars, travel to instrument collections and libraries in Europe and the United States, photographic supplies and services,

and research assistance. In addition to a book, the project expects to produce an exhibition that will be shown at the scholars' own universities, then made available to other institutions.

### Questions for Review of Applications

1. In what respects will the project be significant to humanities scholars, students, and other readers?

2. How does the proposal build on existing scholarship in the field or fields involved? Does the project lead to a more integrated understanding of its subject?

3. How clearly have the research questions been formulated? How convincingly does the proposal justify the project's methodology? How appropriate and specific is the project's work plan?

4. How appropriate are the qualifications, experience, and responsibilities of the staff in relation to the project's goals?

5. To the extent that the project supports collaborative work, in what ways will the proposed format promote significant interaction? How will the final product draw on the theories and methods of the various fields of the collaborators or consultants?

6. Does the applicant demonstrate a thorough knowledge of the nature and location of the necessary source material? How effectively will the project make use of this material? Will the applicant be able to gain access to the source material?

7. Will the project result in significant publications? How thoroughly planned are these publications?

8. Are the expenditures clearly related to the research design? How cost effective will the project be?

9. If the proposal is to prepare a guided study: How significant is the primary text or texts in the history of science? Is the proposed guided study appropriate for the intended audience? How useful will this guided study be? What fundamental aspects of science will be illuminated? Does the sample commentary overwhelm the primary text or texts?

# IX.
## CONFERENCES

Grants in this program support conferences designed to advance the state of research in a field or topic of major importance in the humanities. These conferences bring together scholars working on related topics in one or several disciplines at a time when the open exchange of ideas will most benefit ongoing research. A conference may respond to the recognition of a critical juncture in research on a particular topic, the availability of new data or materials, or the need to integrate the results of disparate studies and other developments that affect future directions for research. All projects should have a specific set of research objectives that can be achieved best by a conference. Presenters at conferences usually number ten to twenty and should be those scholars, junior and senior, American and foreign, whose current work and interests make them best suited to contribute to the conference. The number of other participants may vary depending on the nature of the conference and may include faculty from a wide range of institutions, undergraduate and graduate students, and members of the public. Conferences should be widely advertised, and additional participants should be sought in a manner that is open, equitable, and appropriate to the subject and purposes of the conference.

Recurrent meetings of professional organizations, societies, and formal or informal associations of scholars are not eligible in this program; special conferences devoted to specific topics, however, can be considered. Applications for conference series are also ineligible. International scholarly conferences held in the United States are encouraged, but proposals for meetings in foreign locations rarely are funded. While other types of conferences are supported by other programs and divisions of the Endowment, this program is concerned principally with the advancement of scholarly research.

In addition to the costs of publicizing and conducting the conference itself, Endowment funds awarded to the sponsoring institution or organization support travel and other expenses for the presenters. Support is also available for a limited number of stipends to offset travel and *per diem* expenses for other individuals such as graduate students and junior faculty who may wish to attend the conference; these stipends are allocated through open and equitable selection procedures. Endowment funds may also be applied to the costs of preparing conference proceedings for publication, but actual costs of publication are ineligible expenses in this program and should be defrayed by the institution, a university press, or an academic journal. Normally, the Endowment's support of a conference will not exceed 70 percent of the total eligible costs. Grants in this program range from $6,000 to $40,000 depending on the nature of the project and the number of presenters. All applicants are encouraged to seek full or partial support through federal matching funds, described in section XV of this booklet. Applicants should consult with a member of the program staff before a final application is submitted.

### Example

Two faculty members at a large midwestern university organize an international conference on Mozart's piano concertos in order to bring together scholars who are pursuing new avenues of research on the musical and cultural contexts of Mozart's works and performers who have been re-evaluating these works from the experience of using period instruments. The conference responds also to the need to discuss differences in interpretation emerging in light of newly available materials and recent studies of the concerto before and during Mozart's time. The conference sessions have been organized to encourage discussion among presenters and other participants. The conference is planned to coincide with a series of public performances of the concertos on the eighteenth-century piano, accompanied by an orchestra of period instruments. Extensive publicity will be directed toward musicologists, cultural historians, performers, music critics, local teachers, and members of the public. The research conference and associated concert series have attracted substantial additional support from state and local sources and private foundations. The organizers expect the conference to lead to the publication of a collection of papers that will illuminate issues for further research on Mozart's piano concertos.

### Example

A center for East Asian research located at a university proposes a three-day international conference on contemporary Chinese fiction and its antecedents in the literature of the May Fourth era. Recognizing that the literatures of these two periods have never been subject to a systematic comparison, the organizers design the conference to encourage productive dialogue between those scholars, both junior and senior, who have worked separately in the literature of these periods and those who have begun comparative study. The conference will address additionally such issues as the definition of "modern" in Chinese literature, the absorption of Western influence, and

the role of the imagination under varying degrees of political control. By circulating the working papers in advance, the organizers assure ample time for discussion. The conference will involve thirty presenters and is expected to attract about seventy other scholars with interests in Chinese and East Asian studies or comparative literature. Publication of the papers, revised after the conference discussions, will enable the results of the conference to be shared by a wide range of scholars.

**Questions for Review of Applications**

1. How significant is the topic of the conference for research in the humanities?

2. Does a thorough review of pertinent scholarship argue that attention to the topic is needed at this time?

3. How clearly have the goals of the conference been formulated? Does the proposal identify the critical issues that the conference will address?

4. Has the conference been designed to allow opportunities for discussion and the exploration of diverse points of view?

5. How appropriate are the qualifications and experience of the conference organizers and presenters for this project? Are presenters tentatively committed to participate?

6. Is the planning at a sufficiently advanced stage to allow a full assessment of the potential value of the conference?

7. How persuasively is the case made for holding a conference in contrast to other alternatives?

8. How effective are the logistical plans for the conference? Will the design and location furnish an optimal situation for the exchange of information?

9. What plans exist for including, where appropriate, participants who are not presenters, especially nonspecialists such as students and school teachers? Do these plans include widespread publicity and equitable selection procedures?

10. How thoroughly are the conference's costs justified and explained?

11. What are the plans for disseminating the results of the conference, whether through publication of the proceedings or some other means?

# X.
# CENTERS FOR ADVANCED STUDY

Through block fellowship grants made in this program, the Endowment supports interrelated research efforts in well-defined subject areas at research libraries and museums, American research centers overseas, and other centers for advanced study that are financed and directed independently of institutions of higher education. Because the purpose of the Endowment's support is to enhance existing fellowship programs, only centers that already award fellowships from their own funds or funds from other sources are eligible to apply. In assessing an application from a center, the Endowment emphasizes the intrinsic importance of the work to be undertaken at the center, the relation of this work to the center's collections and other facilities, the quality and productivity of the center's previous fellows, and the degree to which arrangements at the center promote collegial exchange.

Fellowships awarded by the centers with NEH support 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. Centers that wish to apply to this program should write to the Endowment to request more detailed information and application instructions. Individual scholars interested in pursuing research at any of the centers receiving Endowment support should apply directly to the centers themselves. A list of currently funded centers is available from the Endowment on request.

**Questions for Review of Applications**

1. How important has previous work conducted at the center been for the advancement of thought and knowledge in the humanities?

2. How are the areas in which fellowships will be given related to the center's resources and to the advancement of research in the discipline or disciplines involved?

3. How effective are the direction and administration of the fellowship program, including the announcement of the competition for fellowships? How expert and equitable is the process of selecting the fellows?

4. What is the overall quality of the center's past and present fellows?

5. What are the quality and scope of the resources, facilities, and services available to the fellows for their work?

6. In what ways will the arrangements at the center promote collegial exchange?

# XI.
# INTERNATIONAL RESEARCH

Through this program, NEH supports the work of national organizations and learned societies that have expertise in the promotion of humanities research on foreign cultures. Grants made by these organizations and societies with the Endowment's assistance enable American scholars to pursue research abroad, participate in international conferences, and collaborate with foreign colleagues.

Grants in this program currently support the following activities: the American Council of Learned Societies' program of Travel Grants for Participation in International Congresses and Conferences Abroad; the International Postdoctoral Grants program of ACLS and the Social Science Research Council, which supports humanities research by American scholars on Africa, the Near and Middle East, Asia, Latin America, and Eastern Europe; the International Research and Exchanges Board, which administers scholarly exchanges and collaborative research projects with the Soviet Union, the countries of Eastern Europe, and Mongolia; and programs and projects of the Committee on Scholarly Communication with the People's Republic of China.

Scholars interested in applying to any of these organizations for support may write the organization directly for additional information and application instructions.

American Council of Learned Societies
228 East 45th Street
New York, New York 10017

Committee on Scholarly Communication with the
  People's Republic of China
National Academy of Sciences
2101 Constitution Avenue
Washington, D.C. 20418

International Research and Exchanges Board
126 Alexander Street
Princeton, New Jersey 08540

Social Science Research Council
605 Third Avenue
New York, New York 10016

# XII.
# SELECTED AREAS

In this program, the Endowment currently supports three grant programs of the American Council of Learned Societies: ACLS Fellowships, which provide opportunities for scholars in all fields of the humanities to engage in research for periods ranging from six to twelve months; Grants-in-Aid, which provide amounts of up to $3,000 to defray expenses of research in progress; and Research Fellowships for Recent Recipients of the Ph.D. Individuals interested in more information about these programs should write directly to:

American Council of Learned Societies
228 East 45th Street
New York, New York 10017

# XIII.
# APPLICATION PROCEDURE

Applicants should not attempt to prepare a full proposal using only the general guidelines provided in this brochure. After reading these guidelines, a prospective applicant is encouraged to draft a brief description (no more than five pages) of the proposed project. The description could include such information as the project's purpose, the plan of work, duration of the project, estimated budget, proposed result, and intended audience. This description should be sent to the program staff of the funding category that seems most appropriate. If the project's place within the division's categories of support is unclear, the applicant should send the description to the director of the Division of Research Programs, who will refer it to the appropriate program officer. So that staff members have sufficient time to give the project thorough attention, this correspondence should begin at least two to three months prior to the formal application deadline.

Upon receipt of the brief description, Endowment staff will assess eligibility, advise on the preparation of the application, and call or write the applicant about the proposal. If the project is eligible, the Endowment staff member will send application forms and instructions. If sufficient time before the deadline remains, the applicant may submit a draft of the proposal for further informal comment.

After this additional consultation with the staff, the applicant should prepare a full application using the appropriate forms.

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 formal applications in the Division of Research Programs requires varying lengths of time, ranging from five to nine months. Applicants are notified by letter once a final decision has been reached.

# XIV.
# THE REVIEW PROCESS

Grants made through the Division of Research Programs are awarded competitively through a peer review process. When an application is received, it is given an identifying number and assigned to an appropriate program officer. Each application is read by a member of the Endowment staff to ensure that it is complete and that both the applicant and the proposed project are eligible for support. Should there be any question about completeness or eligibility, the staff member will discuss these questions with the applicant.

The questions for review included in the program descriptions earlier in this booklet are the criteria used in the evaluation of a proposal at each stage of the peer review process. In most categories of support, each proposal is sent to as many as six specialist reviewers outside the Endowment for their written comments. Endowment staff choose reviewers from a list of suggested specialists supplied by the applicant and from other sources. Applicants are asked not to contact those persons they list as possible reviewers, because the main criterion used by Endowment staff in selecting a reviewer is that the person be a disinterested expert in the field of the proposed project. Simultaneously, program officers assemble panels of outside experts whose members are familiar with the subjects and types of projects represented by the applications. New panels are constituted for each cycle of applications; there are no standing panels. Each panel is chaired by a member of the Endowment staff.

Panelists are asked to read, prepare written comments, and offer preliminary qualitative judgments on the applications several weeks before the panel convenes. At the panel meeting, these comments are discussed, along with those of the outside specialist reviewers. The discussion leads to collective recommendations regarding the comparative significance and merits of the proposed projects. Panelists sometimes offer advice for improving projects and strengthening the competitiveness of proposals that are not recommended.

The recommendations of the reviewers, panelists, and staff are then forwarded to the National Council on the Humanities, a board of twenty-six individuals appointed by the President of the United States and confirmed by the Senate. A committee of the council reviews the recommendations and makes its recommendation to the entire council. Taking into account the recommendations of the reviewers, panelists, staff, and the council, the Endowment's Chairman by law makes all final decisions about funding. In the vast majority of cases, the Chairman's decision is consistent with the recommendations of the National Council on the Humanities. The Endowment then notifies each applicant about the outcome of the review process.

Once the Endowment has received a formal application, the Endowment staff will not comment on the status of that application except with respect to questions of completeness or eligibility. After decisions are announced, the Endowment staff will respond to a written request from the project director or authorizing official for an explanation of the reasons for the Endowment's decision.

# XV.
# OUTRIGHT AND MATCHING FUNDS

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 will contribute $10,000 to the project's cost and expects to receive an additional $5,000 from an eligible third-party donor, the applicant should request $5,000 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.

# XVI.
# COST SHARING

The Endowment expects that a portion of a project's total costs will be supported by the institution that is conducting or administering the project. As noted in the program descriptions, the percentage of cost sharing varies by program, category, and type of project. In all cases, however, cost sharing consists of the cash contributions made

to the project by the applicant and by third parties as well as third-party, in-kind contributions, such as donated services and goods. The applicant's cost sharing may include both direct costs and indirect costs. Cost sharing also includes gift money raised to release federal matching funds.

# XVII.
# RENEWAL APPLICATIONS

After conferring with a staff member, an applicant may seek additional funds for the completion or continuation of a project. A renewal application must demonstrate that the project has met or surpassed the goals, including goals of productivity and cost effectiveness, that were established at the outset of the original grant and must provide a convincing case for additional Endowment support. In renewal applications, cost sharing should be significantly higher than in the initial project. Renewal applications are judged in competition with the applications for new projects received at that same deadline.

# XVIII.
# SPECIAL INITIATIVES

A special initiative is an undertaking by the Endowment to encourage proposals in all grant-making categories for projects relating to a specific subject or event. Proposals are currently solicited for the following initiative:

*The Columbian Quincentenary*

As part of the international observance of the 500th anniversary of Christopher Columbus's voyage of discovery to the New World, NEH

invites proposals for original scholarship on related topics and for the dissemination of both new and existing scholarship. Topics may include the expansion of European civilization and the establishment of new societies and new forms of cultural expression through encounters among native American, European, and African peoples. Proposals may also explore the ideas—political, religious, philosophical, scientific, technological, and aesthetic—that shaped the processes of exploration, settlement, and cultural conflict and transformation set into motion by Columbus's momentous voyage.

# XIX.
# GENERAL ADVICE

All applications to the Endowment should present, in a clear, coherent manner, a sound intellectual justification for the project and an appropriate plan of work. Reviewers and panelists dislike jargon, cliches, pedantry, unsubstantiated claims, unnecessary repetition, and imprecise prose. Titles of proposals should be brief, descriptive, and suggestive of the humanities content of the proposals. Proposal narratives should be limited to twenty-five or fewer double-spaced pages, with appendices used to provide appropriate illustrative material. Résumés should be concise and current. Rubber bands, staples, or binder clips are sufficient to bind copies of the application. Use of 8½" x 11" paper whenever possible is recommended.

Applicants who use computers and other automation technology, other than word processing, should describe the system they intend to use. The Endowment understands that some of the components may be changed as new technology becomes available.

Applicants are also urged to begin the preparation of proposals early so that sufficient time remains for preliminary discussions with the staff. Although such consultation is not a required part of the application process, experience has shown that those applications that have benefited from preliminary advice from the staff have a higher rate of success.

# XX.
# APPLICATION DEADLINES

Although deadlines are generally the same each year, they are subject to change. Applicants should consult current guidelines brochures and application instructions.

| Program | Application Postmark Deadline | Notification Date | For Grant Period Beginning On or After |
|---|---|---|---|
| **TEXTS** | | | |
| Editions | June 1, 1991 | March 1992 | April 1, 1992 |
| Translations | June 1, 1991 | March 1992 | April 1, 1992 |
| Publication Subvention | April 1, 1991 | September 1991 | October 1, 1991 |
| **REFERENCE MATERIALS** | | | |
| Tools | September 1, 1990 | June 1991 | July 1, 1991 |
| Access | September 1, 1990 | June 1991 | July 1, 1991 |
| **INTERPRETIVE RESEARCH** | | | |
| Collaborative Projects | October 15, 1990 | June 1991 | July 1, 1991 |
| Archaeology Projects | October 15, 1990 | June 1991 | July 1, 1991 |
| Humanities, Science and Technology | October 15, 1990 | June 1991 | July 1, 1991 |
| **CONFERENCES\*** | January 15, 1991 | September 1991 | October 1, 1991\*\* |
| **CENTERS FOR ADVANCED STUDY\*** | December 1, 1990 | June 1991 | July 1, 1991 |
| **INTERNATIONAL RESEARCH\*** | April 1, 1991 | December 1991 | January 1, 1992 |

\*These are NEH deadlines for applications from the sponsoring organizations; each organization has its own deadlines for applications from prospective fellows, grantees, and conference participants.

\*\*Conferences typically take place six to twelve months after the beginning of the grant period.

# XXI.
# STAFF

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