

**NATIONAL ENDOWMENT FOR THE  
HUMANITIES**

**C**ENTERS FOR  
ADVANCED  
STUDY

**Application Deadline:  
October 1, 1995**

DIVISION OF RESEARCH PROGRAMS

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**Centers for Advanced Study**  
National Endowment for the Humanities  
Room 318  
Washington, DC 20506  
Telephone: 202/606-8458  
FAX: 202/606-8558  
E-Mail: ckalke@neh.fed.us  
(NEH will not accept applications  
sent via FAX machine or electronic mail.)

### **TIMETABLE**

August 1	Date by which applicants desiring NEH staff comment should send draft proposals
October 1	Postmark deadline for sending formal applications to the Endowment
August, the following year	Notification of awards
September 1	Earliest suggested starting date for grant period

### **APPLICATION CHECKLIST**

The application should consist of the following:

- \_\_1. Twelve copies of the application package, each copy including, in the following order:
  - \_\_a) NEH Application Cover Sheet (one copy with the original signature of the authorizing official)
  - \_\_b) Table of Contents
  - \_\_c) Narrative Description (limited to twenty-five or fewer double-spaced pages)
  - \_\_d) Proposed Budget
  - \_\_e) Appendices
  - \_\_f) Statement of History of Grants
  
- \_\_2. Three additional copies of the application cover sheet.

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## GENERAL INFORMATION

### THE NATIONAL ENDOWMENT FOR THE HUMANITIES

“Democracy demands  
wisdom and vision in its  
citizens”

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

In order “to promote  
progress and scholarship in  
the humanities and the arts  
in the United States,” Con-  
gress enacted the National  
Foundation on the Arts and  
the Humanities Act of 1965.  
This act established the  
National Endowment for the  
Humanities as an independ-  
ent grant-making agency of  
the federal government to  
support research, education,  
and public programs in the  
humanities. Grants are made  
through Federal/State Part-  
nership, four divisions (Edu-  
cation Programs, Preservation  
and Access, Public Programs,  
and Research Programs), and  
the Office of Challenge  
Grants.

### THE HUMANITIES

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

Work in the creative or performing arts—such as the writing of fiction or poetry, painting, sculpting, composing or performing music, acting, directing, and dance—is not eligible for support by the National Endowment for the Humanities. Persons interested in support in these areas should contact the National Endowment for the Arts, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506. Critical, historical, and theoretical studies of the arts, however, are eligible for NEH support.

### PRESIDENTIAL DIRECTIVES

The National Endowment for the Humanities participates in two government-wide Presidential Directives. Executive Order 12876 was promulgated in order to help strengthen and ensure the long-term viability of the nation’s Historically Black Colleges and Universities, and Executive Order 12900 was issued by the White House on behalf of educational excellence for Hispanic Americans. The NEH encourages applications that respond to these Presidential Directives.

### SPECIAL INITIATIVE

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:

#### A NATIONAL CONVERSATION ON AMERICAN PLURALISM AND IDENTITY

“All of our people—left, right, and center—have a responsibility to examine and discuss what unites us as a country, what we share as common American values in a nation comprised of so many divergent groups and beliefs. For too long, we have let what divides us capture the headlines and sound bites, polarizing us rather than bringing us together.... This is to be a national conversation open to all Americans, a conversation in which all voices need to be heard and in which we must grapple seriously with the meaning of American pluralism.”

—Sheldon Hackney, Chairman  
National Endowment for the Humanities

Applications responding to this Endowment initiative should be submitted to regular Endowment programs and will be judged according to the criteria stated for those programs.

In order to expand, inform, and enrich this national conversation, the Endowment invites proposals that address any of the complex topics and themes related to pluralism in America. The Endowment is particularly interested in how people—differentiated by ethnicity, race, or culture—have interacted within the framework of our national society (or, for comparative purposes, in other pluralistic societies) and what commonalities may have emerged as shared American values.

The goal of this initiative is to support humanities projects that will place questions about American pluralism and identity in historical and critical perspective, thus animating the national conversation on our shared values and differences and illuminating the evolving ideal suggested by our nation's motto, *E Pluribus Unum*. (As noted above, the focus of this initiative is on ethnic, racial, and cultural differences although other important differentiating and unifying factors such as class, gender, religion, or region may be interwoven where appropriate.)

Applications responding to this Endowment initiative should be submitted to regular Endowment programs and will be judged according to the criteria stated for those programs.

For examples of projects under this special initiative, please write to:

NEH Public Information Office  
Room 402  
1100 Pennsylvania Ave., N.W.  
Washington, D.C. 20506

#### CUSTOMER SERVICE STANDARDS

**In assisting you as a prospective applicant, you can expect us to:**

- o respond courteously and quickly to your requests for information about our grant programs;
- o be able to describe the programs that best suit your needs;
- o provide application instructions and forms that are clear and easy to use;
- o offer prompt and thoughtful advice and guidance in preparing your application;
- o explain accurately the procedures that would be used to evaluate your application and tell you when you could expect a decision.

**In assisting you as an applicant, you can expect us to:**

- o ensure that the evaluation of your application is fair, expeditious, and informed by the expert judgments of your peers;
- o notify you promptly of the decision on your application;
- o provide substantive reasons for the decision reached on your application;
- o give you helpful advice, if you are unsuccessful, on revising or resubmitting your application.

In assessing an application from a center, the Endowment emphasizes the intrinsic importance of the work to be undertaken, the relation of this work to the center's collections and other resources, the quality and productivity of the center's previous fellows, and the degree to which arrangements at the center promote collegial exchange.

**In assisting you as a grantee, you can expect us to:**

- o provide you with an award document that is clear and easy to understand and that sets forth sensible reporting requirements;
- o provide the names of our staff members who will serve as contacts for your reports and for any assistance you may need;
- o answer promptly and satisfactorily all requests for information on NEH policies and procedures;
- o read and acknowledge promptly your reports on grant activities;
- o maintain a professional, helpful relationship with you as you carry your project to completion.

## CENTERS FOR ADVANCED STUDY

This program makes grants in support of fellowship programs administered by research libraries, museums, and other independent centers for advanced study. The fellowships awarded by each center enable individual scholars to pursue their own research for periods ranging from four to twelve months and to participate in the interchange of ideas among the center's scholars. In assessing an application from a center, the Endowment emphasizes the intrinsic importance of the work to be undertaken, the relation of this work to the center's collections and other resources, the quality and productivity of the center's previous fellows, and the degree to which arrangements at the center promote collegial exchange. A fundamental consideration in the awarding of funds to a center is the advantage to scholars of working collegially at the center in contrast to working individually at separate locations. Endowment funds awarded in this program may be used only to support fellowship stipends and standard allowances, costs of publicizing the availability of the NEH fellowships, and costs of selecting the fellows.

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.

## ELIGIBILITY

Centers for advanced study that are nonprofit, tax-exempt institutions and are financed, governed, and administered independently of institutions of higher education are eligible for funding. Because the purpose of the Endowment's support is to enhance existing fellowship programs, eligibility is limited to centers that have established fellowship programs with their own or other private funding and that are prepared to offer fellowships for periods of four to twelve months.

All applicants are encouraged to correspond with the Centers for Advanced Study program 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.

To be eligible to receive NEH funding, applicants must have obtained tax-exempt status from the Internal Revenue Service. Accordingly, by accepting a grant, the recipient certifies that it has tax-exempt status. It should be understood by the grant recipient that in the event an award of a grant is erroneously made to an organization, institution, or group subsequently determined to be ineligible for a grant, the award may be terminated.

#### **WHAT THE CENTERS FOR ADVANCED STUDY PROGRAM DOES NOT SUPPORT**

The Centers for Advanced Study program does **not** provide support for fellowships for

research undertaken in the pursuit of an academic degree;

the preparation of textbooks;

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

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

#### **CONDITIONS GOVERNING NEH FELLOWSHIPS AT CENTERS**

##### **1. Eligibility for NEH Fellowships at Centers**

NEH fellowships are for persons who have already completed their formal professional training. Consequently, degree candidates and persons seeking support for work in pursuit of a degree are not eligible to hold NEH fellowships at centers for advanced study. Foreign nationals are not eligible to apply unless they have lived in the United States for the three years immediately preceding the application deadline for the fellowship. Centers must give all eligible applicants equal consideration; they may not restrict applications to members of a scholarly organization or to persons affiliated with institutional members of a scholarly organization. Centers may not require an administrative or application fee. Centers may not accept applications from any officer, employee, member of the board of trustees or advisers, selection committee member, or officer, employee, or board member of a parent organization until at least one year has elapsed since the person's last service in such a position.

##### **2. Publicity**

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.

##### **3. Selection Procedures**

Each center should ensure fair and informed selection of recipients of NEH fellowships by relying upon the recommendations of an external



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 \$30,000.

committee composed of qualified scholars drawn from outside the center's staff and governing bodies. Staff, officers, board members, and trustees of centers may not serve as voting members on committees that review applications for NEH Fellowships. The same restrictions apply to staff, officers, and trustees of umbrella organizations. NEH funds may be awarded only to fellows recommended by the external committees. In awarding an NEH fellowship, a center must give preference to persons who have not held any long-term fellowships (four months or more) within the three years preceding the period during which the NEH fellowship will be held.

#### **4. Fellowship Tenure**

Fellowship tenure must be continuous and last from four to twelve months.

#### **5. Stipends**

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 \$30,000. The maximum stipend of \$30,000 is applicable to any six- to twelve-month period. The maximum amount allowable for a four-month fellowship is \$20,000, and the maximum for a five-month fellowship is \$25,000. 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 portion of the academic or calendar year equivalent to the tenure period of the fellowship, except for customary allowances for travel and other research expenses.

#### **6. Other Benefits and Services to Fellows**

Centers must grant NEH fellows all benefits, services, and accommodations normally accorded other fellows.

#### **7. Reports on the Selection Process**

After the completion of each fellowship competition and the award of fellowships, the center must provide the Endowment with a full report on its competition, 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, and organizations to which publicity materials were sent;
- c) a detailed account of the procedures used to select fellows, including the names, institutions, and fields of the people who reviewed the applications; and instructions and criteria of selection supplied to reviewers;
- d) a list of the recipients of NEH fellowships, annotated with the fellows' fields or departments, their institutions, and a brief description of the fellows' projects; and full applications, including résumés, project proposals, tenure periods, and stipend amounts;

Fellows may not hold other major fellowships or grants during fellowship tenure, except sabbaticals and supplemental grants from their own institutions and small grants from other sources for specific research expenses.

- e) a comparative statistical analysis of the NEH fellows and the group of applicants eligible for NEH fellowships by field, type of institution, academic rank, and geographical distribution; and
- f) a comparison of the fellows and eligible applicants with the previous year's fellows and eligible applicants and an analysis of any discernible statistical trends in recent years or sudden changes from the previous year.

#### **8. Acknowledgment of Endowment Support**

Centers are expected to include an acknowledgment of the support of the National Endowment for the Humanities in all its publications that result from or pertain to the use of 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. In addition, centers are expected to insure, unless advised otherwise, that all scholarly articles, books, and other publications resulting from work conducted at the center by NEH fellows contain an acknowledgment of NEH support.

#### **9. Publications by NEH Fellows at Centers**

A center should 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 should provide NEH's Division of Research Programs with one copy of all such books, articles, and monographs.

#### **10. Responsibilities of NEH Fellows at Centers**

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. Fellows may not hold other major fellowships or grants during fellowship tenure, except sabbaticals and supplemental grants from their own institutions and small grants from other sources for specific research expenses. At the end of their tenure, NEH fellows must submit final reports on their activities and accomplishments to NEH's Division of Research Programs.

### **THE EVALUATION PROCESS**

Each Endowment application is assessed first by knowledgeable persons outside the agency who are asked for their judgments about the quality and significance of the proposed project. About 1,200 scholars, professionals in the humanities, and other experts serve on approximately 250 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. In the Centers for Advanced Study program, the judgment of panelists normally is supplemented by individual site visit reports or reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the application under review.

**A**t least two months before the October 1 application deadline, centers planning to apply are urged to submit a draft of the narrative and budget sections and the appendices of the proposal.

The advice of evaluators is assembled by the staff of the Endowment, who comments on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then forwarded to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate. The National Council meets three times each year to advise the Chairman of the Endowment. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, takes into account the advice provided by this review process and, by law, makes the final decision about funding.

#### QUESTIONS FOR THE REVIEW OF APPLICATIONS

- o How important has previous work conducted at the center been for the advancement of thought and knowledge in the humanities?
- o 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?
- o How effective are the direction and administration of the fellowship program? How effective is the publicity for the competition for fellowships? How expert and equitable is the process of selecting the fellows?
- o What is the overall quality of the center's past and present fellows?
- o What are the quality and scope of the resources, facilities, and services available to the fellows for their work?
- o In what ways will the arrangements at the center promote collegial exchange?

#### PRELIMINARY PROPOSAL

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

## APPLICATION INSTRUCTIONS

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

### GENERAL ADVICE

All applications to the Endowment should present, in a clear, coherent manner, a sound intellectual justification for the proposal and an appropriate plan of work. Successful applications are usually free of jargon, clichés, pedantry, unsubstantiated claims, unnecessary repetition, and imprecise prose. Titles of projects should be brief, descriptive, and substantive. Proposal narratives should be limited to twenty-five or fewer double-spaced pages, with appendices used to provide appropriate illustrative material. Résumés should be concise and current.

Prospective applicants are advised to review carefully the list of questions (see page 9) that evaluators of Centers for Advanced Study applications are asked to address. The issues raised in those questions should be addressed in the appropriate sections of the proposal. Applicants also are advised that it is preferable to follow the format outlined below.

### NEH APPLICATION COVER SHEET

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

### TABLE OF CONTENTS

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

### NARRATIVE DESCRIPTION

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:

**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 there for the advancement of thought and knowledge in the humanities. 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 nearby institutions; the facilities available for study, research, and discussion (such as offices, computer equipment, word processors, typewriters, carrels, and common rooms); and any services that would be

available to fellows (such as secretarial or research assistance, photocopying, meals, and housing or housing assistance).

**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 and any particular mix of fellows that the center attempts to achieve. Applicants should describe the activities of the fellows from several recent years, reporting on their research and their informal and structured collegial activities. Applicants should address the ways in which the center nurtures collegiality among the scholars once they are in residence. This would be an appropriate place to describe the center's seminars, colloquia, luncheon symposia, and any other devices through which the center seeks to foster intellectual interaction.

To this section the applicant should append:

- o lists of all fellows, their fields, their project topics, and their home institutions for the current year and for at least the two preceding years. This list should distinguish long-term (four- to twelve-month) from short-term (one- to three-month) fellows. Applicants for renewal grants should identify the NEH fellows on the list.
- o a comparative statistical analysis of the applicant pool and the resulting awards for the current year and each of the two preceding years, distinguishing applicants for NEH fellowships from others and 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, academic rank, and geographical distribution are the most important general categories of analysis.
- o a bibliography with full citations of books and articles that are attributable to previous fellowships. Those attributable to NEH fellowships should be so designated.

**Publicity and Selection Procedures.** Because one of the purposes of the Endowment's support for fellowships at centers for advanced study is to encourage collegial exchange, applicants should describe the publicity methods used by the center to attract a diverse group of scholars with related interests. They should append lists of publications, organizations, and other institutions receiving announcements as well as copies of announcements and posters used to publicize the program.

Applicants must 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 from potential applicants; and application forms and instructions. Applicants should describe the criteria by which members of selection committees themselves are chosen and the years of service for which they are retained. In

particular, applicants should describe the kind of balance they try to achieve in their committees with respect to discipline, institutional and geographical diversity, and other factors. Lists of committee members who chose the fellows for the current year and the two preceding years, annotated as to discipline, institutional affiliation, and academic rank, should be appended.

**Program Evaluation.** 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. Copies of NEH fellows' reports for the preceding three years should be appended. Institutions that have not had NEH fellows should attach reports from their long- or short-term postdoctoral fellows.

**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.

**Fellowship Program Funding.** Applicants should 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.

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 below, and it should clearly distinguish long-term from short-term fellowships. If the center's program now operates with the support of an NEH Centers for Advanced Study grant, the applicant should list separately the funding for the NEH fellowship program (consisting of NEH outright and matching funds as well as the gifts used to release the matching funds). If the center has received an NEH Challenge Grant to endow fellowships, the applicant should explain how the annual income from the endowment generated by the Challenge Grant is currently used. In addition, the applicant should provide information about the extent to which the center can continue its fellowship program without additional NEH funding. For example, the applicant should describe what reductions in numbers of fellows in the humanities and length of tenure would be necessary without NEH support.

**Future of the Fellowship Program.** Applicants should describe any proposed changes in the center's focus, interests, purposes, scope, structure, 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 (NEH-supported and other fellows) or stipend levels needed to achieve the center's purposes should also be explained.

## 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 and per diem expenses for selection committee members, etc.

A sample budget is provided on page 23.

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

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

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

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

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

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

**Grant Period.** The grant period encompasses the entire period for which Endowment support is requested in the current application. All project activities and the expenditure of project funds, that is, grant funds and third-party funds that are used to release federal matching funds, must occur during the grant period. Projects can include full- or part-time activities for periods of up to three years. Centers may request fellowship funds for periods of from one to three years; if funds are requested for fellowship publicity and selection, the grant period should include adequate time for these activities.

## APPENDICES

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

- a) résumés from the relevant members of the center's staff and faculty;
- b) a list of members of the center's board of trustees;
- c) lists of publications of previous NEH and other fellows. NEH fellows should be clearly identified as such, and full citations should be given for all publications;
- d) lists of fellows (NEH and other) for the current and at least the past two years, including disciplines, institutional affiliations, and project topics of fellows;
- e) statistics on applications and awards as described above in the section entitled "Nature of the Fellowship Program" (page 11);
- f) lists of publications and addressees receiving announcements of fellowship programs;
- g) copies of publicity materials, application forms, and form letters used in responding to inquiries from potential applicants;
- h) lists of selection committee members who chose the fellows for the current and last two years and copies of instructions and criteria for evaluation provided to them; and
- i) copies of reports from fellows for the last three years.

## 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 the sources, dates, 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.

## FORMAL SUBMISSION

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

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

1. NEH Application Cover Sheet
2. Table of Contents



3. Narrative Description
4. Budget
5. Appendices
6. Statement of History of Grants

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

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

#### **DEADLINE**

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

#### **EQUAL OPPORTUNITY STATEMENT**

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

#### **COMPLIANCE WITH OTHER FEDERAL LAWS**

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

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

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

## CERTIFICATION REQUIREMENTS

By signing and submitting a proposal the individual applicant or the authorizing official of the applicant institution provides the applicable certifications. When a prospective applicant is unable to certify regarding the nondiscrimination statutes and implementing regulations, a drug-free workplace, or lobbying, that person is non eligible to apply for funding from NEH. When an applicant is unable to certify regarding federal debt status or debarment and suspension, an explanation must be attached to the proposal. The explanation of why the certification cannot be submitted will be considered in connection with the Endowment's funding determination. Failure to furnish a certification or an explanation shall disqualify the applicant from receiving an award from the Endowment.

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

### SUBGRANTEES AND SUBCONTRACTORS

Certification responsibilities extend beyond the grantee to subgrantees and subcontractors under certain circumstances:

**Debarment and Suspension.** The applicant agrees by submitting this proposal that should the proposal be funded by the Endowment, it shall not enter into any project-related transactions with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the NEH. The applicant further agrees by submitting this proposal to include without modification the following clause in all lower tier covered transactions (as defined by regulation) and in all solicitations for lower tier covered transactions: (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency; (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**Lobbying Activities.** Those who received a subgrant, contract, or subcontract exceeding \$100,000 at any tier under an Endowment grant are required to file a certification and, when necessary, a disclosure form

to the next tier above. All disclosure forms shall be forwarded to the NEH Grants Office by the grantee.

These certifications, which appear in the Appendix to these instructions, should be read before signing Block 12 of the application cover sheet. Additional information on these certifications is available: via modem through the NEH Bulletin Board, 202/606-8688, see "Grant Recipient Information"; from the NEH World Wide Web site, <http://www.neh.fed.us/>, select "Administrative Information"; or from the NEH Grants Office, room 310, Washington, D.C. 20506, 202/606-8494.

## INSTRUCTIONS FOR COMPLETING THE NEH APPLICATION COVER SHEET

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

### Block 1—Individual Applicant or Project Director

**Item a.** Enter the name and mailing address of the 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. 2—Mrs. 3—Miss 4—Ms. 5—Professor 6—Dr.

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

**Item d and Item e.** Applicants for grants in the Centers for Advanced Study program need not complete these items.

**Block 2—Type of Applicant.** All applicants for grants in the Centers for Advanced Study category should be applying through an organization or institution. Item b has already been indicated on your form.

The *Type*, Center for Advanced Study, is preprinted on your form. 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—applicants requesting a new period of funding, whether for a new project or for a project previously funded by NEH, should check this box.

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

**Block 4—Program to which Application Is Being Made.** If application is being made under the Endowment's initiative described on page 3, please indicate the number corresponding to the initiative in the space provided after Endowment Initiative:

03P—National Conversation on American Pluralism and Identity.

**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."

## PRIVACY ACT

This 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. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.

### **Block 11—Institutional Data.**

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

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

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

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

**Block 12—Certification.** The Endowment is required by government-wide regulations to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Institutional applicants are required to certify that they will comply with the nondiscrimination statutes. When an applicant requests more than \$100,000 in grant funds, it must also certify that no federal funds have or will be paid to any person to influence the funding decision for the specific proposal that is being submitted for consideration. In the unlikely event that an NEH applicant has used or plans to use nonfederal funds for this purpose, it must request, complete, and submit a standard disclosure form. These certifications, which appear in the Appendix to the guidelines, should be read before Block 12 of the application cover sheet is signed. Additional information on these certifications is available: via modem through the NEH Bulletin Board, 202/606-8688, see "Grant Recipient Information"; from the NEH World Wide Web site, <http://www.neh.fed.us/>, select "Administrative Information"; or from the NEH Grants Office, room 310, Washington, D.C. 20506, 202/606-8494.

1 Individual applicant or project director
a. Name and mailing address: (last) (first) (initial) (street) (city) (state) (zip code)
b. Form of address:
c. Telephone numbers Office: / Home: / (area code) (area code) FAX: / E-Mail: (area code)
d. Major field of applicant or project director: (code)
e. Citizenship: U.S. Other: (country) (specify) (month/year)

2 Type of applicant
a. by an individual b. through an organ./institution
c. Type
d. Status

3 Type of application
a. new b. supplement
If b, indicate previous grant number

4 Program to which application is being made
Centers for Advanced Study
Endowment Initiatives (code):

5 Requested grant period
From: To:

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

7 Field of project (code)

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. Employer identification number:
c. Name of authorizing official: (last) (first) (initial) (title)

d. Name and mailing address of institutional grant administrator: (last) (first) (initial) (city) (state) (zip code) Telephone: / Form of address: (area code) FAX: / E-Mail: (area code)

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

(printed name) / (signature) / (date)

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

Table with 3 columns: For NEH use only, Application #, Initials. Rows: Date received

## 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.)

<u>Anthropology</u>	<u>L1</u>	<u>History</u>	<u>A1</u>	<u>Languages</u>	<u>C1</u>	<u>Slavic</u>	<u>D7</u>
<u>Archaeology</u>	<u>U6</u>	<u>African</u>	<u>A2</u>	<u>Ancient</u>	<u>CC</u>	<u>Spanish</u>	<u>D8</u>
		<u>American</u>	<u>A3</u>	<u>Asian</u>	<u>CA</u>		
<u>Archival Management/ Conservation</u>	<u>I1</u>	<u>Ancient</u>	<u>AC</u>	<u>Classical</u>	<u>C2</u>	<u>Museum Studies/Historic Preservation</u>	<u>I2</u>
		<u>British</u>	<u>A4</u>	<u>Comparative</u>	<u>C9</u>		
<u>Arts/History and Criticism</u>	<u>MA</u>	<u>Classical</u>	<u>A5</u>	<u>English</u>	<u>CE</u>		
		<u>European</u>	<u>A6</u>	<u>French</u>	<u>C3</u>	<u>Philosophy</u>	<u>B1</u>
<u>Architecture: History &amp; Criticism</u>	<u>U3</u>	<u>Far Eastern</u>	<u>A7</u>	<u>German</u>	<u>C4</u>	<u>Aesthetics</u>	<u>B2</u>
		<u>Latin American</u>	<u>A8</u>	<u>Italian</u>	<u>C5</u>	<u>Epistemology</u>	<u>B3</u>
<u>Art: History &amp; Criticism</u>	<u>M1</u>	<u>Near Eastern</u>	<u>A9</u>	<u>Latin American</u>	<u>C6</u>	<u>Ethics</u>	<u>B4</u>
		<u>Russian</u>	<u>AA</u>	<u>Near Eastern</u>	<u>CB</u>	<u>History of Philosophy</u>	<u>B5</u>
<u>Dance: History &amp; Criticism</u>	<u>M3</u>	<u>South Asian</u>	<u>AB</u>	<u>Slavic</u>	<u>C7</u>	<u>Logic</u>	<u>B6</u>
				<u>Spanish</u>	<u>C8</u>	<u>Metaphysics</u>	<u>B7</u>
<u>Film: History &amp; Criticism</u>	<u>M4</u>	<u>Humanities</u>	<u>U8</u>			<u>Non-Western Philosophy</u>	<u>B8</u>
				<u>Law/Jurisprudence</u>	<u>Q1</u>		
<u>Music: History &amp; Criticism</u>	<u>M5</u>	<u>Interdisciplinary</u>	<u>U1</u>			<u>Religion</u>	<u>E1</u>
		<u>African Studies</u>	<u>G1</u>	<u>Library Science</u>	<u>H3</u>	<u>Comparative Religion</u>	<u>E5</u>
<u>Theater: History &amp; Criticism</u>	<u>M2</u>	<u>American Studies</u>	<u>G3</u>			<u>History of Religion</u>	<u>E2</u>
		<u>Area Studies</u>	<u>GH</u>	<u>Linguistics</u>	<u>J1</u>	<u>Non-Western Religion</u>	<u>E4</u>
<u>Communications</u>	<u>P2</u>	<u>Asian Studies</u>	<u>G5</u>			<u>Philosophy of Religion</u>	<u>E3</u>
		<u>Classics</u>	<u>G7</u>	<u>Literature</u>	<u>D1</u>		
<u>Composition &amp; Rhetoric</u>	<u>P1</u>	<u>Folklore/Folklife</u>	<u>R1</u>	<u>African</u>	<u>DK</u>	<u>Social Science</u>	<u>U2</u>
<u>Journalism</u>	<u>P4</u>	<u>History/Philosophy of Science, Technology, or Medicine</u>	<u>GA</u>	<u>American</u>	<u>DE</u>	<u>American Government</u>	<u>F2</u>
<u>Media</u>	<u>P3</u>	<u>International Studies</u>	<u>CG</u>	<u>Ancient</u>	<u>DC</u>	<u>Economics</u>	<u>N1</u>
<u>Education</u>	<u>H1</u>	<u>Labor Studies</u>	<u>G4</u>	<u>Asian</u>	<u>DA</u>	<u>Geography</u>	<u>U7</u>
		<u>Latin American Studies</u>	<u>GJ</u>	<u>British</u>	<u>DD</u>	<u>International Relations</u>	<u>F3</u>
<u>Ethnic Studies</u>	<u>K1</u>	<u>Medieval Studies</u>	<u>G8</u>	<u>Classical</u>	<u>D2</u>	<u>Political Science</u>	<u>F1</u>
		<u>Regional Studies</u>	<u>GF</u>	<u>Comparative</u>	<u>D9</u>	<u>Psychology</u>	<u>U5</u>
<u>Asian American</u>	<u>K5</u>	<u>Renaissance Studies</u>	<u>G9</u>	<u>French</u>	<u>D3</u>	<u>Public Administration</u>	<u>F4</u>
<u>Black/African-American</u>	<u>K4</u>	<u>Rural Studies</u>	<u>GC</u>	<u>German</u>	<u>D4</u>	<u>Sociology</u>	<u>S1</u>
<u>Hispanic American</u>	<u>K3</u>	<u>Urban Studies</u>	<u>G2</u>	<u>Italian</u>	<u>D5</u>		
<u>Jewish</u>	<u>K6</u>	<u>Western Civilization</u>	<u>GB</u>	<u>Latin American</u>	<u>D6</u>		
<u>Native American</u>	<u>K2</u>	<u>Women's Studies</u>	<u>G1</u>	<u>Literary Criticism</u>	<u>D1</u>		
				<u>Near Eastern</u>	<u>DB</u>		

## SAMPLE BUDGET

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

	<u>1996-97</u>	<u>1997-98</u>	<u>Totals</u>
Direct payments to fellows			
Fellowship stipends		\$58,000 [2]*	
Travel allowances		<u>2,000</u>	
		60,000	
Publicity			
Printing	1,000		
Postage	<u>1,200</u>		
	2,200		
Selection			
Travel of five committee members	1,500		
Per diem for same for two days	750		
Duplication of applications	<u>40</u>		
	2,290		
Total outlays			
Direct payments to fellows			60,000
Publicity and selection			<u>4,490</u>
			64,490

### II. Funding

NEH Outright funds	30,490
NEH Matching funds	17,000
Gifts	<u>17,000</u>
Total Funding	64,490

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



## GRANTEE RESPONSIBILITIES

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

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

## ELIGIBLE GIFTS AND DONORS

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

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

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

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

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

## APPENDIX

These certifications should be read in full before signing Block 12 of the application cover sheet. Questions about the certifications or requests for the standard form for disclosure of lobbying activities should be addressed to the NEH Grants Office, room 310, National Endowment for the Humanities, Washington, D.C. 20506. Telephone: 202/606-8494.

**1. Certification Regarding the Nondiscrimination Statutes and Implementing Regulations (Applies to Recipients Other than Individuals).** The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d *et seq.*) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 *et seq.*) which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 *et seq.*) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

**2. Certification Regarding Federal Debt Status (OMB Circular A-129).** The applicant certifies to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

**3. Certification Regarding Debarment and Suspension (45 CFR 1169).** The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

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

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

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

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

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

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

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

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

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

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

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

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

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

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

**5. Certification Regarding Lobbying Activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of \$100,000).** The undersigned certifies, to the best of his or her knowledge and belief, that:

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

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

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

## PROGRAMS OF THE RESEARCH DIVISION

<u>Program/Telephone</u>	<u>Application Postmark Deadline</u>	<u>For Grant Period Beginning On or After</u>
<b>Fellowships for University Teachers</b> provide six to twelve months of salary support for individuals to undertake full-time independent research and writing in the humanities. 202/606-8466	May 1	January 1 of the following year
<b>Fellowships for College Teachers and Independent Scholars</b> provide six to twelve months of salary support for individuals to undertake full-time independent research and writing in the humanities. 202/606-8467	May 1	January 1 of the following year
<b>Summer Stipends</b> provide support for individuals to undertake two consecutive months of full-time independent research and writing in the humanities. 202/606-8551	October 1	May 1 of the following year
<b>Faculty Graduate Study Program for Historically Black Colleges and Universities</b> grants provide support for HBCU faculty to undertake one year of full-time study leading to a doctoral degree in the humanities with preference given to those individuals who are at the dissertation stage of their work. In addition to the fellowships offered by NEH, the East-West Center in Honolulu, Hawaii, will offer one fellowship within the Faculty Graduate Study Program. 202/606-8466	March 15	September 1 of the following year
<b>Editions</b> grants provide up to three years of support for the preparation of authoritative and annotated print and electronic editions of works and documents that are of value to humanities scholars and general readers and have been either previously inaccessible or available only in inadequate editions. 202/606-8207	July 1	May 1 of the following year
<b>Translations</b> grants provide up to three years of support for individual or collaborative projects to translate into English works that provide insight into the history, literature, philosophy, and artistic achievements of other cultures. 202/606-8207	July 1	May 1 of the following year
<b>Subventions</b> grants of \$7,000 to scholarly presses support the publication and dissemination of excellent works in all fields of the humanities. 202/606-8207	February 1	September 1
<b>Reference Materials</b> grants provide up to three years of support for projects to prepare dictionaries, historical or linguistic atlases, encyclopedias, <i>catalogues raisonnés</i> , concordances, reference grammars, databases, textbases, hypermedia and multimedia products, and other works for the advancement of research in the humanities or for general reference. 202/606-8358	November 1	September 1 of the following year

<b>Basic Research</b> grants provide more than one year (up to three years) of support for original research in the humanities undertaken by two or more scholars, as well as for large, complex projects coordinated by individual scholars that entail research costs in addition to salary support. 202/606-8210	March 15	January 1 of the following year
<b>Archaeology Projects</b> grants provide up to three years of support for significant archaeological excavations and publications worldwide. 202/606-8210	October 1	May 1 of the following year
<b>Humanities Studies of Science and Technology</b> grants provide up to three years of support for projects that apply the knowledge, methods, and perspectives of the humanities to subjects in science, technology, and medicine. 202/606-8210	October 1	May 1 of the following year
<b>Conferences</b> grants to institutions provide up to three years of support for conferences designed to advance the state of research in a field or topic of major importance in the humanities. (Conferences typically take place six to twelve months after the beginning of the grant period.) 202/606-8210	May 15 December 15	January 1 of the following year September 1 of the following year
<b>Centers for Advanced Study</b> grants support postdoctoral fellowship programs at independent centers for advanced study. (Each center has deadlines for individual applications; individuals apply directly to the centers.) 202/606-8458	October 1	September 1 of the following year
<b>International Research Organizations</b> grants to national organizations, learned societies, and American research centers overseas enable scholars to pursue research on foreign cultures and to collaborate with foreign colleagues. (Each sponsoring organization has deadlines for individual applications; individuals apply directly to the sponsoring organizations.) 202/606-8458	October 1	September 1 of the following year
<b>Dissertation Grants</b> provide six to twelve months of support for doctoral candidates in the humanities to devote full time to completing their dissertations. 202/606-8458	October 15	May 1 of the following year

Information on the programs of the Research Division is available from the  
 Division of Research Programs  
 Room 318  
 National Endowment for the Humanities  
 1100 Pennsylvania Avenue, N.W.  
 Washington, D.C. 20506

FAX numbers: 202/606-8204 and 202/606-8558; E-Mail: [research@neh.fed.us](mailto:research@neh.fed.us)  
 (NEH will not accept applications sent via FAX or electronic mail.)

R94-5A

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