



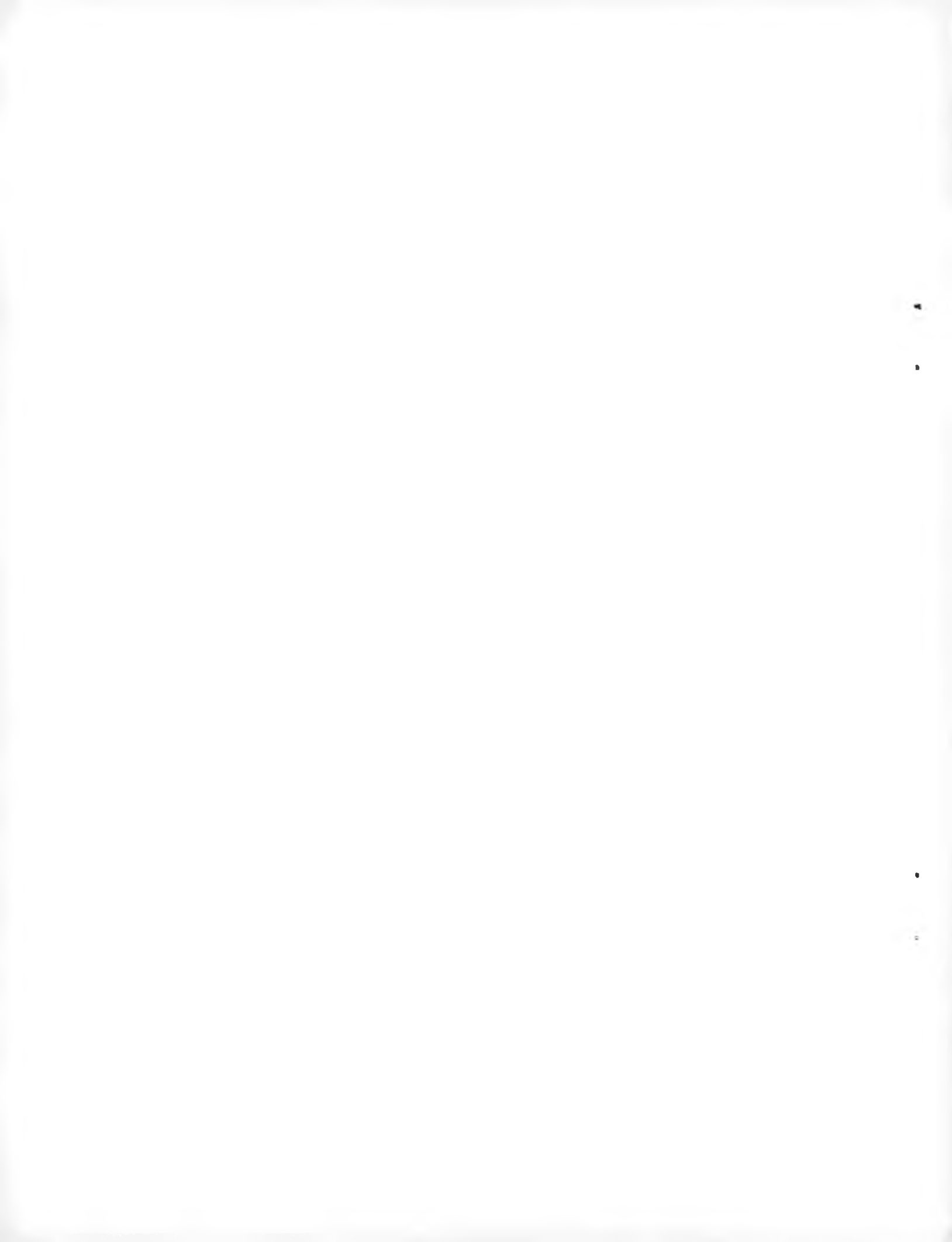
National
Endowment
for the
Humanities

Division of
Research
Programs

Guidelines and
Application
Instructions

December 1984

Humanities, Science, and Technology



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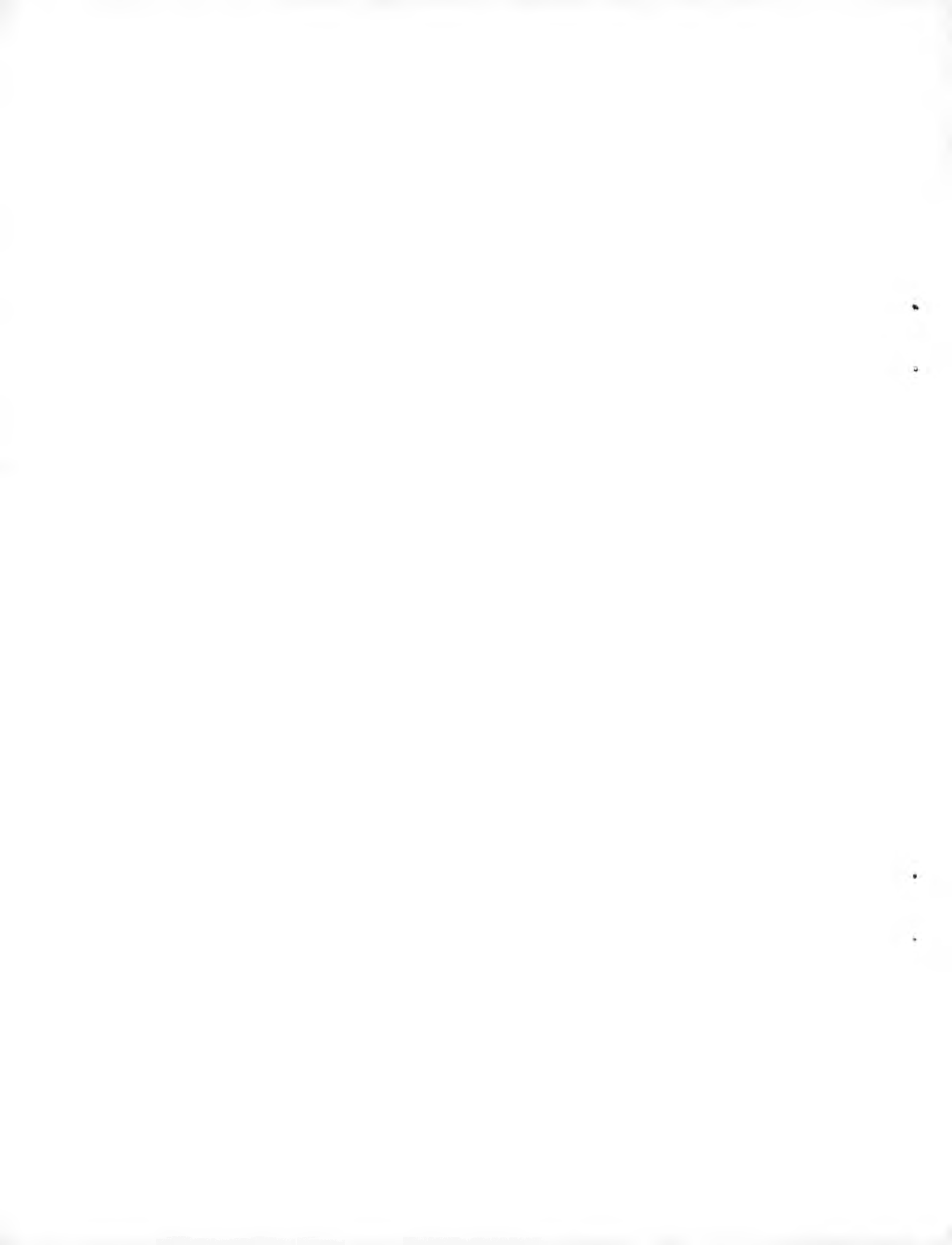
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INTRODUCTION

The purpose of the Endowment's Humanities, Science, and Technology Program is to support humanities research designed to deepen our understanding of science and technology and their role in our culture.

The HST Program offers three kinds of awards:

- o NEH Research Awards in Humanities, Science, and Technology
- o NEH-NSF (EVIST) Individual Awards
- o NEH-NSF (EVIST) Multidisciplinary Research Awards

NEH research awards in Humanities, Science, and Technology support scholarship on a broad range of topics of philosophic and/or historical significance. The NEH-NSF individual awards and the NEH-NSF multidisciplinary research awards fund research on ethical aspects of contemporary issues that involve science and technology; HST and the EVIST program at the National Science Foundation jointly review and fund proposals for these awards. (Support for other types of projects in the study of science and technology may be available from other divisions and programs of the Endowment. Please see pages 7-8 of these guidelines.)

The HST Program gives priority to studies of science and technology that involve the traditional humanities disciplines. Grant applications for support of purely empirical social scientific research, specific policy studies, or technical impact assessments are not eligible. The HST Program encourages studies involving the collaboration of scientists or engineers with humanities scholars and projects that promise to improve interdisciplinary research methods.

NEH RESEARCH AWARDS IN HUMANITIES, SCIENCE, AND TECHNOLOGY

ELIGIBILITY

Research awards in Humanities, Science, and Technology is a general category that invites research proposals from institutions or individuals representing the full range of humanities disciplines and perspectives. Appropriate subjects for inquiry might be, but need not be limited to, the form and content of scientific knowledge; the processes through which scientific knowledge is developed; the design and deployment of technology; the interaction among sciences, technology and other elements of culture; the conflicts among choices that may accompany scientific and technological change; and the methods and concepts that the humanities use to study science and technology. The program invites proposals that approach any of these topics from the disciplines of 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.

The program emphasizes collaborative or coordinated research projects--both those uniting humanities scholars with scientists and those integrating different humanities perspectives. Individual researchers who require various combinations of consultants, research assistants, clerical, or technical support personnel may also apply. However, individual researchers seeking support for one year or less are encouraged to apply to the Endowment's Division of Fellowships and Seminars.

The program also makes a limited number of awards to institutions wishing to establish a research center or a similarly structured program for research, focusing on a single topic or a series of closely related topics. NEH support for such centers is available for awards of up to three years (renewable once) and is intended to stimulate research in new areas or to make use of research materials in new ways. Collaboration or the coordination of individual efforts should be a central feature of the research process and may involve senior and junior scholars and visiting scholars (including visitors from abroad) as well as researchers from the host institution. It is expected that the projects will lead to specific products, such as a series of essays or monographs that represent a significant advance in the discipline(s) involved. Proposals should explain the format of the collaboration, how it is expected to enhance the research process, and how visiting scholars are to be chosen.

REVIEW CRITERIA

The program employs a peer review process to assess proposals. Each application is sent for written review to several scholars expert in the proposal topic. Next, the applications are judged in competition with each other by a panel of scholars from a variety of relevant disciplines. The National Council on the Humanities, a twenty-six member advisory body appointed by the president of the United States, meets quarterly to consider proposals in light of the reviewers' and panelists' comments. The chairman of the Endowment, after receiving the Council's recommendations, makes the final decision on each proposal.

The following criteria are applied during this review process:

1. The extent to which the proposal promises a significant contribution to the humanities through the study of science and technology. This includes the identification of an important research question, a promising research agenda to address that question, and a realistic work plan to accomplish that agenda.
2. The extent to which the proposal is grounded in the best current literature on the topic. The proposal also should make clear its relation to ongoing research on the topic.
3. The extent to which the researchers are qualified to pursue the proposed work. Responsibilities of the project personnel should be carefully delineated and their project-related qualifications shown.
4. For interdisciplinary studies, the extent to which the collaborative relationship among investigators is clearly articulated and designed to further the research goals. This criterion includes specifying the relation among pertinent theories and methods in the investigators' disciplines.
5. The extent to which the budget is reasonable for the work proposed.

The most successful proposals are likely to be those that define a significant research problem and describe a cogent theoretical and methodological foundation for inquiry. The proposal narrative should be clearly written. It must communicate effectively with both nonspecialists and specialists on the topic. The review process demands that proposals convince scholars from a variety of disciplines. In anticipating the review applicants may wish to circulate drafts of their proposals for comments among appropriate peers before submitting final proposals to the NEH.

EXAMPLES OF HST RESEARCH AWARDS

1. A historian of science proposed a study of the development of evolutionary theory in Russia from 1890 to 1970. He planned to document the development of scientific work, to analyze the evolving social and ideological significance of Darwinism in Soviet culture, and to assess the character of the interaction between the development of science and its institutional, ideological, and political contexts. His proposal was grounded in part on the presumption that we know a great deal about Darwin, but relatively little about Darwinism--the development of his ideas in science and their interaction with the broader culture.

2. A literary scholar proposed to study the relation between machine technology and the American literary imagination from 1887 to 1929. In contrast to the view that the humanities and technology are separate cultures, she planned to explore the possibility that there emerged in this period, at least implicitly, a set of coherent aesthetic practices based on the influence of machine technology.

STAFF CONSULTATION AND APPLICATION PROCEDURES

After reviewing these guidelines, the prospective applicant should write a three-to-five page project description and send it to the program no later than the December 15 preceding the March 1 formal deadline. The HST staff will advise the applicant concerning the eligibility of the planned project. If the project is eligible, the staff will offer advice on the preparation of a formal application. In submitting a formal proposal, the applicant should use the application form and instructions for the preparation of the narrative, budget, and work plan that are contained in the HST guidelines.

Once the Endowment receives a formal proposal, the review process requires approximately six months. Applicants are notified by letter when a decision has been made.

NEH does not fund research leading to a degree. A Ph.D. is not required for eligibility, but all professional members of a research team must demonstrate the capacity to do advanced independent research in the humanities and should identify past accomplishments as evidence of their ability to undertake the proposed project.

BUDGET

The average grant in the Humanities, Science, and Technology Program is about \$40,000 annually, but there is no

fixed upper limit to the level of funding. Applicants with budgets amounting to \$100,000 or more should contact the program staff before submitting a formal proposal. Such applicants should also explore the NEH matching program through which gifts from nonfederal third parties can release an equal amount of NEH matching funds. Further information on matching grants can be found in the brochure, "Overview of the Division of Research Programs."

NEH-NSF INDIVIDUAL AWARDS

ELIGIBILITY

The Endowment cosponsors this set of awards with the National Science Foundation's Ethics and Values in Science and Technology (EVIST) Program. Intended to encourage development of interdisciplinary research skills in science and technology studies, these awards support scholars whose work takes them into areas beyond the scope of their own professional training. Thus, the awards support projects where an applicant works with a host specialist from another discipline (e.g., a historian working with an engineer) on a sustained program of study, research, and related activities lasting up to two years. HST and EVIST have prepared a fuller description of these awards. They are available from HST. They are also available from EVIST, NSF, Washington, D.C. 20550.

APPLICATION PROCEDURES

The competitive peer review process for NEH-NSF Individual Awards is jointly managed by the HST and EVIST programs. Preliminary proposals should conform to the guidelines published in the EVIST program announcement and should be submitted to EVIST at NSF. Awards may be administered by either agency.

EXAMPLES OF NEH/NSF INDIVIDUAL AWARDS

1. A legal scholar proposed to work with a physician and medical researchers to study the ethical implications of recent and anticipated developments in neonatology. With increased medical ability to visualize, manipulate, and treat the fetus, the fetus increasingly becomes a patient/research subject within a patient. The goal of the study is to examine changes in the perception of the fetus in light of the science of neonatology.

2. A physicist interested in probabilistic risk analyses of technological hazards and the ethical implications of their use proposed to work with a philosopher on a three-part study involving (1) a course of directed study in ethics and epistemology; (2) a collaborative research project relating ethical issues to the epistemological choices underlying probabilistic forecasting; and (3) an evaluation of specific hazard management schemes using this collaborative study.

NEH COFUNDING FOR NSF MULTIDISCIPLINARY RESEARCH GRANTS

APPLICATION PROCEDURES

In addition to the Endowment's cosponsorship of the HST/EVIST individual awards, HST can also support EVIST's major research awards. These awards support interdisciplinary research and related activities designed to address fundamental ethical issues in science and technology. In considering EVIST proposals for cofunding, HST gives priority to projects undertaking substantive research that promises to further scholarship in the humanities.

Complete guidelines for the EVIST category are available from HST at NEH, or from EVIST, NSF, Washington, D.C. 20550. Inquiries and preliminary proposals should be submitted to the EVIST program at NSF.

EXAMPLES OF EVIST MULTIDISCIPLINARY PROJECTS CHOSEN FOR COFUNDING BY HST

1. A team of researchers composed of a philosopher of medicine, a moral philosopher, a physician, and a legal scholar are examining the relation of the concepts of causation and responsibility in innovative medical therapy. Six case studies in which new science-based treatments were subsequently associated with specific consequences are being used to develop and test finer conceptions of causation and responsibility and their connection in the face of uncertain knowledge.

2. An engineer and historian of technology is collaborating with a cultural anthropologist whose work has focused on social dynamics in science. The project involves participant observation in an engineering design laboratory to identify the different sorts of social, aesthetic, and cognitive values incorporated into the design process.

OTHER SOURCES OF SUPPORT

In addition to its collaboration with EVIST at NSF, HST sometimes participates in cooperative review and joint funding with other federal funding programs, such as the History and Philosophy of Science (HPS) Program at NSF. Applicants interested in pursuing such joint funding arrangements should contact the HST Program staff.

Projects in the humanities that propose the study of science and technology but that do not fall within the purview of the HST Program's funding activities may be eligible under some other NEH program. For example, other programs within the NEH Division of Research Programs can accept applications for projects that organize and conserve resources of HST scholarship, prepare major reference works, tools, or editions, or support research conferences.

In addition to the Division of Research Programs, the Endowment has other major divisions and offices that may be helpful to applicants interested in the humanities study of science and technology:

The Division of Education Programs seeks to aid formal education in the humanities at all levels, to improve instruction, and to make better use of resources in the humanities. Support is provided through planning, development, and project grants. This support helps grantees carry out experimental educational programs in the humanities; to develop teaching materials; and to plan, carry out, and evaluate curriculum revisions.

Programs in the Division of Fellowships and Seminars afford individual scholars, teachers, and other interpreters of the humanities opportunities to undertake full-time study or research for periods ranging from several weeks to one year. Support is available for independent work and for seminars that provide for interaction with colleagues.

The Division of State Programs makes annual grants to humanities committees in the fifty states, Puerto Rico, the Virgin Islands, and the District of Columbia. The committees, in turn, regrant these funds to provide humanities programs at the local level, usually for the general public. Groups and individuals interested in receiving funds under this program should apply to their state committees.

The Division of General Programs supports projects that increase public understanding and appreciation of the humanities through television and radio programs, museums, historical organizations, libraries and other cultural institutions, civic organizations, and youth organizations. The division also supports humanities projects that may not be eligible for funding within other established Endowment programs.

APPLICATION INSTRUCTIONS

INTRODUCTION

All prospective applicants are urged to discuss projects with program staff before completing a proposal.

APPLICATION PARTS

A complete application consists of five parts arranged in the following order:

- A. NEH application cover sheet;
- B. Budget;
- C. Complete project description;
- D. Curriculum vitae (or other appropriate biographical summary);
- E. Listing of three reviewers chosen by the applicant.

Directions for the completion of each of these parts can be found in these instructions. Forms to be used for items A and B above are enclosed.

ON THE NEH APPLICATION COVER SHEET, PLEASE COMPLETE BLOCK 9, THE PROJECT DESCRIPTION, CAREFULLY. THIS INFORMATION IS USED AT ALL SUBSEQUENT STAGES OF THE ENDOWMENT'S REVIEW PROCESS, AND IT IS ESSENTIAL THAT IT REPRESENT FULLY AND FAIRLY THE SCOPE AND PURPOSE OF THE PROJECT. IT STANDS AS THE ONLY SUMMARY OF YOUR PROJECT AVAILABLE WITHIN AND OUTSIDE THE AGENCY.

PLEASE INCLUDE INFORMATION ON EACH OF THE FOLLOWING ITEMS:

- o the nature of the project
- o its significance
- o its methodology
- o its scope (time and number of persons to be involved)
- o previous NEH funding, if any
- o product and its general benefit

MAILING INSTRUCTIONS

Application materials should be mailed to the

Division of Research Programs
National Endowment for the Humanities
Room 319
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

Note: Please collate and secure all copies of the application. Applicants should retain a copy for their own file.

A complete application package should contain the full application in 25 copies.

APPLICATION DEADLINE

The materials must be postmarked no later than the deadline date for the appropriate program; a schedule of deadlines is provided in this booklet on page 30. These materials should contain the full body of information that the applicant wishes to constitute his or her application. Should major changes affecting project personnel or the budget occur after the deadline, the applicant should arrange with Endowment staff to have this information submitted (in sufficient copies). Within three to five weeks of receipt, the Endowment will notify the applicant and the institutional grant administrator of the log number assigned to the application. All subsequent correspondence concerning the application should refer to the log number and the name of the project director.

INSTRUCTIONS FOR COMPLETING BUDGET FORM

The instructions provided below are applicable to research projects and are keyed to the sections of the project budget form on the following pages. Before completing the budget form, the applicant should review these instructions carefully. Each copy of the proposal that is forwarded to the Endowment should include a detailed and complete project budget.

I. TYPE OF BUDGET SUBMISSION: Check the appropriate box; if the applicant is submitting a revised budget the identifying application or grant number assigned by the Endowment should be indicated.

II. APPLICANT ORGANIZATION: Provide the official title of the organization/group. A person submitting an application as an unaffiliated individual should insert "none" in this space.

III. DATE PREPARED

IV. PROJECT TITLE should be the same as that shown on the application cover sheet.

V. PROJECT DIRECTOR is the person who will undertake the project or be chiefly responsible for directing it.

VI. THE GRANT PERIOD encompasses the entire period for which Endowment funding is requested in the current application. The maximum period for which funding may be requested in an application is thirty-six months. (When the grant period covers only a portion of the time required to complete a project, the applicant will provide in the description of the project specific information on the time and funding needed to realize all the project goals.)

Please refer to the section in the guidelines that provides information on application deadlines (page 30). Listed next to each application deadline is the earliest date that a project submitted against that deadline may begin.

VII. PROJECT COSTS are those expenses that will be incurred during the grant period to accomplish project objectives.

All project costs must be
--for services rendered or materials used during the grant period;
--verifiable from the grantee's records;
--necessary and reasonable for the proper and efficient accomplishment of project objectives; and
--charges that would be allowable under the applicable federal cost principles.

The SUMMARY BUDGET is a recapitulation of the detailed itemization of project costs that the applicant will provide on pages 2 and 3 of the budget form. All project costs that will be supported by Endowment funds and cost-sharing contributions, whether cash or in kind, should be listed in the summary budget.

VIII. PROJECT FUNDING consists of funds that the applicant requests from the Endowment and cost sharing that will be provided by the applicant or nonfederal third parties to cover project expenses during the grant period.

(1) Under REQUESTED FROM THE ENDOWMENT, list the amounts of outright (nonmatching) funds and/or matching funds that are requested from the Endowment. (Applicants who request Endowment matching funds should refer to the note at the end of this section before completing the budget form.)

(2) Under COST SHARING, (a) indicate the cash contributions to the project, i.e., the amount of funding that will be provided by the applicant for the project and the sources and amounts of other cash contributions, such as grants and donations, that will be made directly to the applicant by nonfederal third parties to cover project expenditures and (b) if in-kind (noncash) contributions, such as donated services and materials, will be made to the project by the applicant or nonfederal third parties, list the type, source, and value of each contribution. (Only those items for which the applicant will not have to outlay funds should be listed as in-kind contributions.)

Applicants may not include as a cost-sharing contribution to the project funds paid by the federal government under another assistance agreement (unless the agreement is authorized by federal law to be used as cost sharing) or funds that the applicant contributes to meet the cost-sharing requirement of any other federally assisted program.

NOTE: The Endowment is authorized to match gifts that are given to a grantee or prospective grantee of NEH for a specific project as well as gifts that are made directly to NEH on behalf of the project. Applicants who plan to fund a portion of the project costs through gifts that NEH will be requested to match should list the matching funds in section VIII (1) of the project budget form and the sources and amounts of gifts in section VIII (2) a. In the event that the

donors and the amounts of gifts have not been identified at the time the application is submitted to NEH, the applicant should enter "various donors" and the total amount of anticipated gifts in the space provided under cash contributions.

TOTAL PROJECT FUNDING is the combined total of funds requested from the Endowment and cost sharing and should equal total project costs.

IX. ESTIMATED OUTLAY OF ENDOWMENT FUNDS, the applicant should provide the amounts of Endowment funds required to cover project costs in each twelve-month period of the project. It is important that the figures supplied be accurate and that the outlay information cover only the grant period.

X. INSTITUTIONAL GRANT ADMINISTRATOR: The signature and telephone number of the person who will be responsible for the administration of the grant, e.g., the review and approval of the project budget and plan of work, the monitoring of the institution's compliance with the terms and conditions of the award, the negotiation of revised budgets, etc. The signature indicates this official's approval of the budget and the agreement of the institution to support project expenses at the level indicated in the budget submission.

XI. BUDGET ITEMIZATION: In this section of the budget form, applicants will provide the budget detail to support the amounts entered in the summary budget. Applicants should note the following:

(a) All project costs that will be incurred during the grant period and will be supported by Endowment funds and cost-sharing contributions, whether cash or in kind, should be listed in the Budget Itemization,

(b) When funding is requested for more than an eighteen-month period, budget itemizations for each year of the grant period should be prepared on duplicated copies of pages 2 and 3 of the budget form, and the dates for each period indicated at the beginning of the individual budget itemization,

(c) On large complex projects, it may be advisable to develop separate budget information on individual programs, functions, or activities of an overall project, and

(d) Pages 2 and 3 of the budget form need not be used if they do not provide sufficient space for budget detail. However, the applicant shall provide budgetary information in the same order and with as much supporting detail as is requested on these two pages.

DIRECT COSTS are all costs that can be specifically identified with a project. (If an applicant has a negotiated indirect cost rate or intends to submit an indirect cost proposal to the Endowment, any costs, such as administrative

salaries, fringe benefits, general overhead operating costs, that are included in the indirect cost pool should not be listed in the budget as direct costs.)

1. SALARIES AND WAGES charged as project costs must be reasonable for the services rendered, and, in the case of grants made to organizations, must conform to the established policies and salary schedules of those organizations. Please note that this requirement applies to employees hired specifically for this project as well as to regular employees of the grantee organization.

Salary support may be charged to a project on a full-time or part-time basis. However, when salary support for principal project personnel is charged on less than a full-time basis, the applicant shall explain in the project description what arrangements will be made to reduce that individual's normal workload.

Individuals who have academic appointments which provide for salary reimbursement on less than a twelve-month basis may request up to two summer months salary as a charge to the project when such support is absolutely necessary to maintain the integrity of the project.

Actual salary reimbursement for an emeritus professor will be subject to negotiation.

For each entry under salaries and wages, indicate the full-time equivalent in months that a person or category of persons will devote to the project. The full-time equivalent for faculty personnel who are paid on an academic year basis, should be listed under academic and/or summer months. For all other project personnel, the full-time equivalent should be indicated under calendar months.

The full-time equivalent in months is calculated by multiplying the fraction of a person's full-time effort for which salary reimbursement will be made with project funds by the duration in months for which salary is to be provided, e.g., 50 percent of full-time effort x 10 months of salary support on project = 5 full-time months; or 75 percent of full-time effort x 6 months of salary support on project = 4.5 full-time months.

2. FRINGE BENEFITS for salaried personnel may be charged to the project as direct costs only if these benefits are not included in the organization's indirect cost pool.

3. Under CONSULTANT FEES list payments for professional and technical consultants, stipends, and honoraria. Charges for such fees should be fully justified in the application narrative.

4. TRAVEL COSTS are the expenses for transportation, lodging, subsistence, and related items. These costs must be

estimated in accordance with the applicant's established travel practice or written policy, providing that the travel results in a reasonable charge and that less-than-first-class air accommodations are used when they are reasonably available. Foreign air travel must be performed on U.S. flag carriers to the extent available.

In the budget itemization, list the total transportation and subsistence costs for each destination in the respective columns and the total in the right-hand column. List the number of days in travel status for each destination. In the event that more than one person is traveling, the number of days each person is in travel status should be added and the total for that destination listed. On the summary budget, the total costs should be divided into domestic and foreign travel costs.

All charges for travel must be fully justified in the application narrative. Travel for dependents is not an allowable charge to project funds and should not appear in the budget.

5. SUPPLIES AND MATERIALS include consumable supplies, raw materials for the fabrication of project items, and items of expendable equipment, i.e., equipment items costing less than \$500 or with an estimated useful life of less than two years.

6. SERVICES include the cost of contractual services related to project objectives and not otherwise classified under direct costs.

7. OTHER includes rental of space and/or equipment, transportation of items other than personnel, communication costs that are not included in the indirect cost pool of an organization, etc. Only when an applicant can demonstrate that purchase of permanent equipment, i.e., equipment items costing \$500 or more which have an estimated useful life of more than two years, will be less expensive than rental, may charges be made to project funds for purchasing permanent equipment.

Please note that "miscellaneous" and "contingency" are not acceptable budget categories.

INDIRECT COSTS are those costs incurred for common or joint objectives that are therefore not readily assignable to the specific project activities. Typical examples of indirect costs for many nonprofit organizations may include depreciation or use allowances on buildings and equipment, the costs of operating and maintaining facilities, and general administration expenses, such as the salaries and expenses of executive officers, personnel, administration, and accounting.

The indirect costs of a project are normally computed by applying a negotiated indirect cost rate to a distribution base. The distribution base is usually direct salaries and wages or the total direct costs of a project, exclusive of capital items and other distorting costs. If an applicant who has not previously negotiated a rate or whose indirect cost rate has expired wishes to claim indirect costs on a project, an indirect cost proposal must be submitted to the cognizant federal agency, i.e., the agency administering the largest dollar amount of federal grants with the organization. In the event that the Endowment is the cognizant agency, the indirect cost proposal should be submitted to the NEH Audit Office. An applicant wishing to delay the submission of an indirect cost proposal until Endowment funding of a project is assured may estimate its indirect costs for the project, but it should be understood that requests for payment on indirect costs cannot be made until an indirect cost rate is negotiated.

For organizations that do not have any other current grants with the Endowment or any immediate plans to submit further applications and do not wish to submit an indirect cost proposal, the Endowment will not require the negotiation of an indirect cost rate provided that the indirect costs proposed are no greater than 10 percent of direct costs of the project, less distorting items (e.g., capital expenditures, major subcontracts, etc.), or \$5,000, whichever is less. However, the amount charged for indirect costs must be supported by the financial records of the organization. This section does not apply to grants in which the organization subcontracts essentially all of the activities of the project.

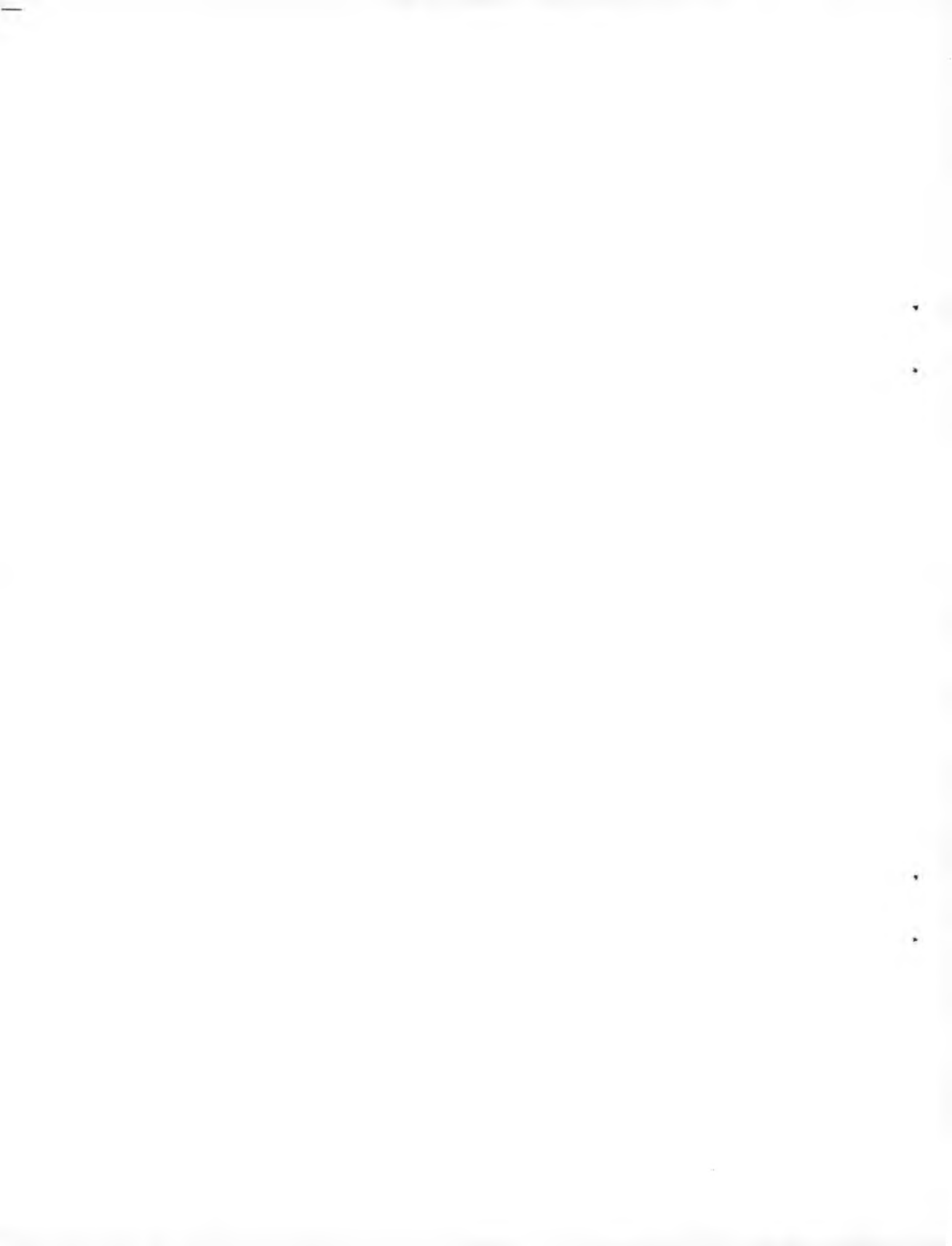
Further information on the development of an indirect cost proposal can be obtained by writing to:

Audit Office
National Endowment for the Humanities
Room 801
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

Equal Opportunity

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

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



National Endowment for the Humanities

Washington, D.C.

The next three pages include:

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

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

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

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

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

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

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

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

The information is solicited under the authority of the National Foundation on the Arts and the Humanities Act of 1965, as amended, 20 U.S.C. 956. This information is needed to process the grant application and for statistical research and analysis of trends. The routine uses which may be made of this information are: general administration of the grant review process; statistical summaries; Congressional oversight; and analysis of trends.

Instructions for Completing the Application Cover Sheet

Block 1—Individual Applicant or Project Director

Item a. If the application is submitted through an institution or organization, enter the name and mailing address of the person who will carry out the project or be chiefly responsible for directing it. Information about an institution is also requested in blocks 2 and 11. When an application is submitted by an individual, the name and address of the individual applying should be indicated.

Item b. Indicate number corresponding to preferred form of address:

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

Item c. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left.

Item d. If possible, please indicate the code for the appropriate field from the "Field of Project" list found on the reverse side of the Application Cover Sheet.

Block 2—Type of Applicant

Check either a or b.

For those who checked a ONLY: Please indicate an institutional affiliation, if applicable, on line 11a.

For those who checked b ONLY: Identify *Type* such as: Business, Religious, Museum, Historical Society, Government (state, local, etc.), Public Media (TV, radio, newspaper, etc.), Educational (elementary/secondary, school district, 2 yr. college, 4 yr. college, etc.), Library (public, research, etc.), Center (advanced study, research, etc.).

Identify *Status* as either Private Nonprofit or Unit of State or Local Government.

E.g., *Type*: Historical Society. *Status*: Private Nonprofit.

Block 3—Type of Application

Check appropriate type:

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

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

c. Renewal—application for funding a new grant period for a project previously funded by the NEH.

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

Block 4—Program to Which Application is Being Made

This information is pre-printed on your form. Pre-printed forms insure that the applicant has the correct instructions for the specific program.

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.

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. The 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 to the project for purposes of greater clarity.

NOTE: The descriptive or working title does not need to be the title of the product (film, article, book) that may result from the project. The applicant retains complete authority and responsibility for choosing titles for project products.

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. The Endowment frequently co-sponsors projects with other funding sources. If not applicable, indicate "N/A."

Block 11—Institutional Data

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

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

Item c. Indicate here the name, mailing address, form of address (see instructions for 1b), and telephone number of the person who will be responsible for the financial administration of the grant if the award is made. For example, at many universities the Provost, Vice President, President, or Chancellor is the person "authorized" to submit an application (see item b), but the actual administration of the project—e.g., negotiating the project budget, ensuring compliance with the terms and conditions of the award—is the responsibility of a Grants or Research Officer. It is the latter person who should be listed here.

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 the specific field of your project is not included in this listing, select the appropriate major field. (This listing is strictly for use by NEH staff to help

retrieve information requested on grants and applications in specific disciplines of the humanities. The listing is not intended to be comprehensive, nor does it represent preferred funding categories. The "hierarchical" arrangement is for convenience.)

Anthropology L1

Archaeology U6

Archival Management/Conservation I1

Arts, History and Criticism MA

Architecture: History & Criticism U3

Art: History and Criticism M1

Dance: History & Criticism M3

Film: History & Criticism M4

Music: History & Criticism M5

Theater: History & Criticism M2

Communications P2

Composition & Rhetoric P1

Journalism P4

Media P3

Education H1

Ethnic Studies K1

Asian American K5

Black/Afro-American K4

Hispanic American K3

Jewish K6

Native American K2

History A1

African A2

American A3

Ancient AC

British A4

Classical A5

European A6

Far Eastern A7

Latin American A8

Near Eastern A9

Russian AA

South Asian AB

Humanities U8

Interdisciplinary U1

African Studies GI

American Studies G3

Area Studies GH

Asian Studies G5

Classics G7

Folklore/Folklife R1

History/Philosophy of Science,
Technology or Medicine GA

International Studies GG

Labor Studies G4

Latin American Studies GJ

Medieval Studies G8

Regional Studies GF

Renaissance Studies G9

Rural Studies GC

Urban Studies G2

Western Civilization GB

Women's Studies G1

Languages C1

Ancient CC

Asian CA

Classical C2

Comparative C9

English CE

French C3

German C4

Italian C5

Latin American C6

Near Eastern CB

Slavic C7

Spanish C8

Law/Jurisprudence Q1

Library Science H3

Linguistics J1

Literature D1

African DK

American DE

Ancient DC

Asian DA

British DD

Classical D2

Comparative D9

French D3

German D4

Latin American D6

Literary Criticism DI

Near Eastern DB

Slavic D7

Spanish D8

Museum Studies/Historic Preservation I2

Philosophy B1

Aesthetics B2

Epistemology B3

Ethics B4

History of Philosophy B5

Logic B6

Metaphysics B7

Non-Western Philosophy B8

Religion E1

Comparative Religion E5

History of Religion E2

Non-Western Religion E4

Philosophy of Religion E3

Social Science U2

American Government F2

Economics N1

Geography U7

International Relations F3

Political Science F1

Psychology U5

Public Administration F4

Sociology S1

| | | |
|---|---------------------------|--------|
| PROJECT BUDGET National Endowment for the Humanities Washington, D.C. 20506 | III. Date Prepared _____ | Page 1 |
| I. Type of Budget Submission <input type="checkbox"/> application budget <input type="checkbox"/> budget revision | IV. Project Title _____ | |
| II. Applicant Organization _____ | V. Project Director _____ | |
| VI. Grant Period From _____ month _____ year To _____ month _____ year | | |

VII. Project Costs (include all charges to NEH and cost sharing funds)

Summary Budget for Entire Grant Period

| DIRECT COSTS | Amount |
|----------------------------|----------|
| Salaries and wages | \$ _____ |
| Fringe benefits | _____ |
| Consultant fees | _____ |
| Travel domestic \$ _____ | _____ |
| Travel foreign \$ _____ | _____ |
| Supplies and materials | _____ |
| Services | _____ |
| Other | _____ |
| Total Direct Costs | _____ |
| INDIRECT COSTS | _____ |
| TOTAL PROJECT COSTS | |
| \$ _____ | |

VIII. Project Funding for Entire Grant Period

(1) Requested from Endowment:

| | | |
|---------------------------------------|----------|----------|
| Outright funds | \$ _____ | |
| Federal Matching | _____ | |
| Total Requested from Endowment | | \$ _____ |

(2) Cost Sharing

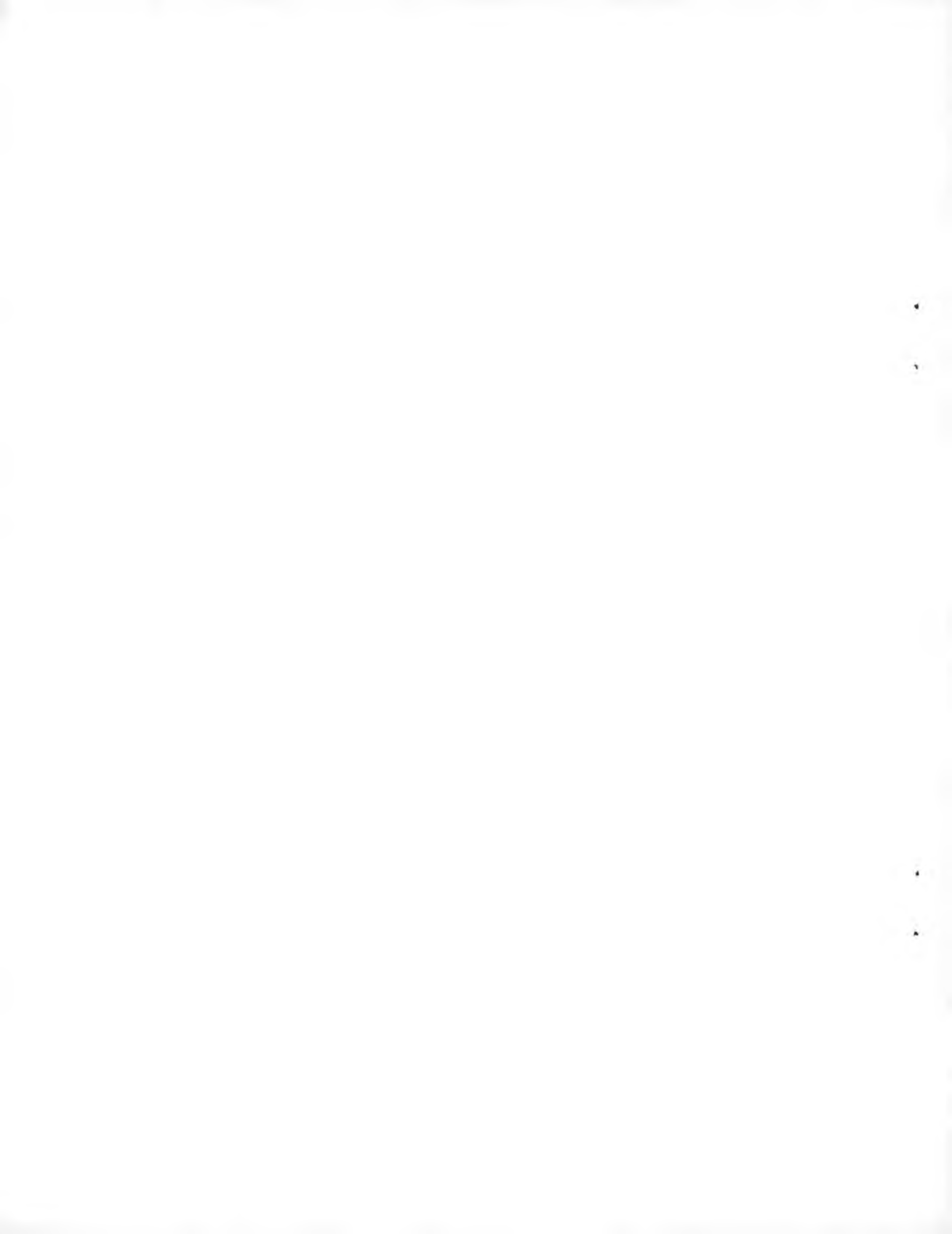
| | |
|--|---|
| a. Cash Contributions (list applicant's anticipated cash outlay and the sources and amounts of third-party donations, grants, etc.) | b. In-Kind Contributions (list each item, source, and value) |
| _____ \$ _____ | _____ \$ _____ |
| _____ \$ _____ | _____ \$ _____ |
| _____ \$ _____ | _____ \$ _____ |
| _____ \$ _____ | _____ \$ _____ |
| Total Cost Sharing | |
| \$ _____ | |
| TOTAL PROJECT FUNDING | |
| \$ _____ | |

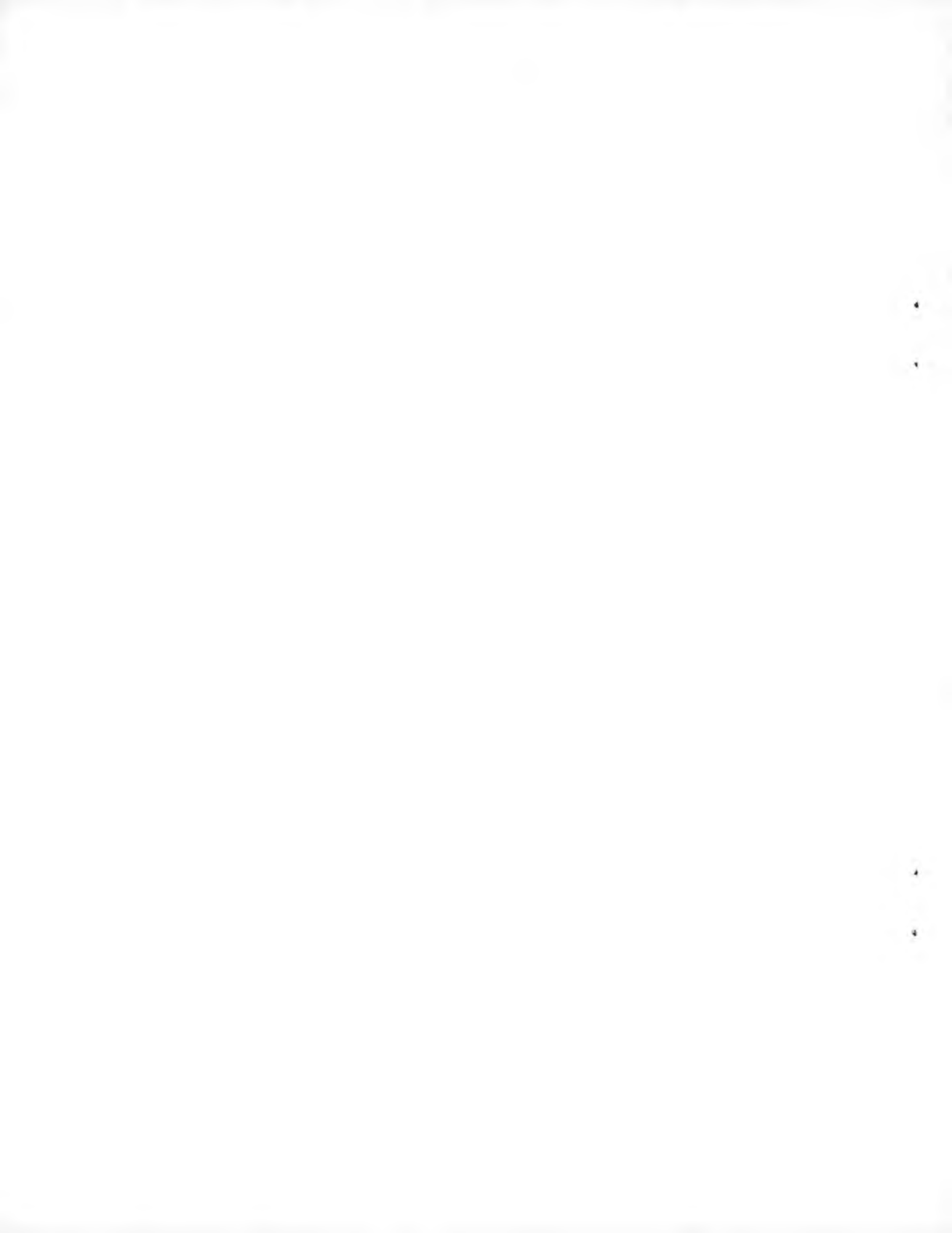
IX. Estimated Outlay of Endowment Funds During Grant Period

| | | | | |
|--------------------------------|-------|-------|-------|----------|
| 1st twelve-month period ending | _____ | _____ | _____ | \$ _____ |
| 2nd twelve-month period ending | month | day | year | _____ |
| 3rd twelve-month period ending | _____ | _____ | _____ | _____ |
| 4th twelve-month period ending | _____ | _____ | _____ | _____ |
| 5th twelve-month period ending | _____ | _____ | _____ | _____ |

X. Institutional Grant Administrator

| | | |
|---------------------------------------|-------------------------|------|
| Name and Title (please type or print) | Signature | Date |
| | Telephone: (____) _____ | |





5. Supplies and Materials (list each major type and indicate the cost computation)

| type | basis/method of cost computation | Amount |
|---|----------------------------------|-----------------|
| _____ | _____ | \$ _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| Total Cost of Supplies and Materials | | \$ _____ |

6. Services (list each major type and cost computation)

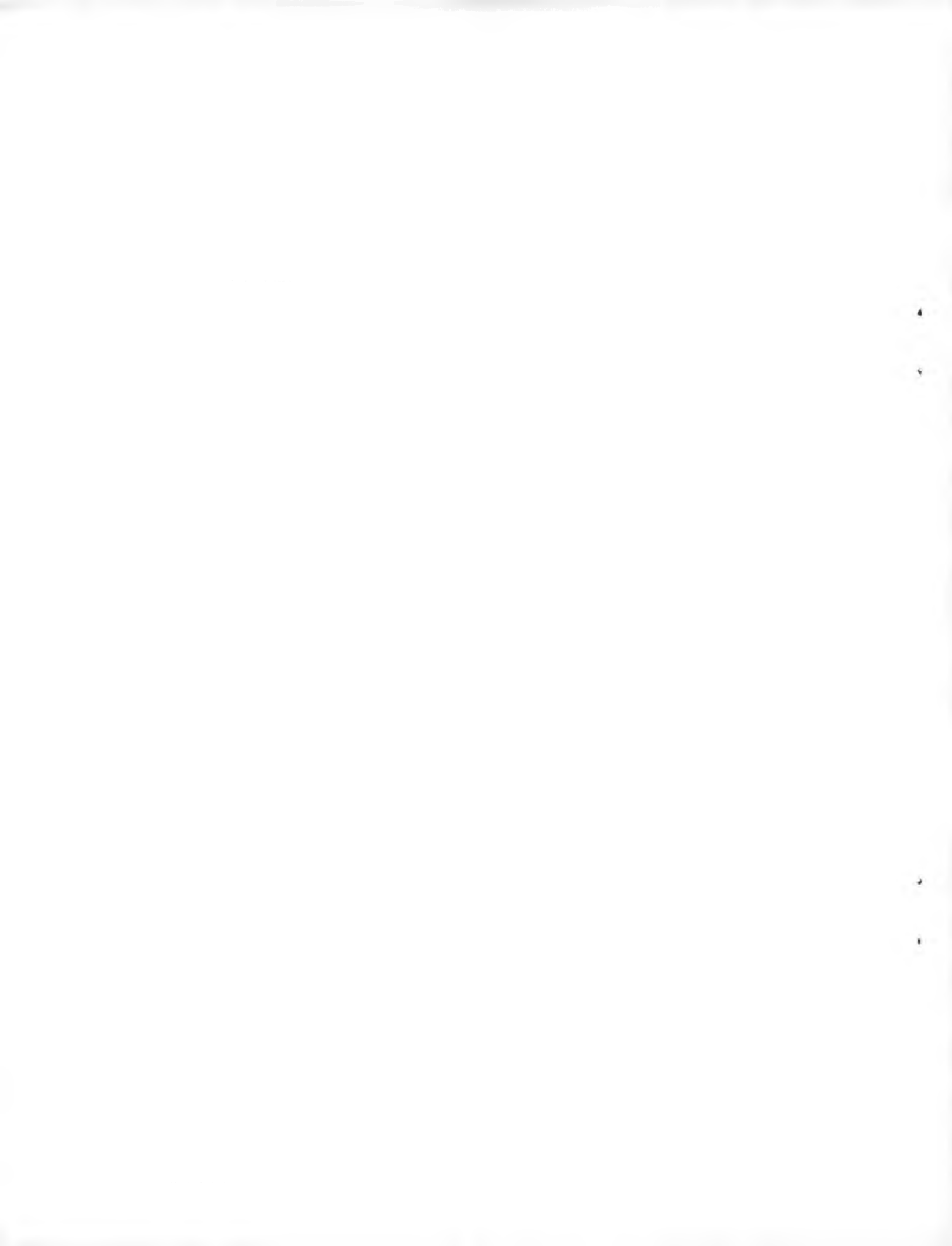
| type | basis/method of cost computation | Amount |
|-------------------------------|----------------------------------|-----------------|
| _____ | _____ | \$ _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| Total Cost of Services | | \$ _____ |

7. Other (list each major type and cost computation)

| type | basis/method of cost computation | Amount |
|----------------------------|----------------------------------|-----------------|
| _____ | _____ | \$ _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| Total Cost of Other | | \$ _____ |

INDIRECT COSTS

| | Amount | |
|---|----------|-----------------|
| 1. Rate(s) established by negotiation with Federal agency: | | |
| _____ % of \$ _____ | \$ _____ | |
| _____ % of \$ _____ | _____ | |
| Name of Federal agency: _____ | | |
| Date of negotiation agreement: _____ | | |
| 2. Rate requested in attached indirect cost proposal or estimate of indirect cost rate if submission of indirect cost proposal will be delayed: | | |
| _____ % of \$ _____ | \$ _____ | |
| Total Indirect Costs | | \$ _____ |



STAFF

| | | |
|-----------------|------------------|--------------|
| Director | Harold C. Cannon | 202/786-0200 |
| Deputy Director | Blanche L. Premo | 202/786-0200 |

| | | |
|--|-------------------------|--------------|
| Assistant Director for Basic Research | John Alexander Williams | 202/786-0207 |
|--|-------------------------|--------------|

| | | |
|--|-------------------|--------------|
| Humanities, Science, and Technology Program Officers: | Daniel P. Jones | 202/786-0207 |
| | Steven W. Laycock | 202/786-0207 |

DEADLINES

| Grant Type | Application Deadline (Annually) | For Projects Beginning on or After: |
|------------------------------|--|---|
| NEH HST Research Awards | March 1 | January 1 |
| NEH/NSF Individual Awards | May 1 (Preliminary Proposals) August 1 (Final Proposals) | January 1 |
| | November 1 (Preliminary Proposals) February 1 (Final Proposals) | July 1 |
| EVIST Multidisciplinary | May 1 (Preliminary Proposals) August 1 (Final Proposals) | April 1 |
| | November 1 (Preliminary Proposals) February 1 (Final Proposals) | October 1 |

National Endowment for the Humanities
Division of Research Programs
Room 319
1100 Pennsylvania Avenue, N.W.
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