NATIONAL

ENDOWMENT

FOR THE

HUMANITIES

Collaborative Research

Division of Research and Education Programs

APPLICATION DEADLINE:
September 1 , 1997

This booklet contains the guidelines and application forms necessary to apply to the Collaborative Research program. These forms may be photocopied for use by more than one person.

Customer Service Standards

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

- respond courteously and quickly to your requests for information about our grant programs;
- be able to describe the programs that best suit your needs;
- provide application instructions and forms that are clear and easy to use;
- offer prompt and thoughtful advice and guidance in preparing your application;
- 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:

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

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

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

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OMB No. 3136-0134
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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

NEH participates in two government-wide Presidential Directives. Executive Order 12876 was promulgated in 1989 in order to help strengthen and ensure the long-term viability of the nation's Historically Black Colleges and Universities, and Executive Order 12900 was issued on behalf of educational excellence for Hispanic Americans. NEH encourages applications that respond to these Presidential Directives.

APPLICATION INSTRUCTIONS

Types of Projects Supported

Collaborative Research grants support original research undertaken by a team of two or more scholars or research coordinated by an individual scholar that because of its scope or complexity requires additional staff or resources beyond the individual's salary. Eligible projects include research leading to the preparation of scholarly publications that break new ground or offer fresh perspectives; editions of works or documents that are of value to humanities scholars and general readers and have been either previously inaccessible or available only in inadequate editions; annotated translations into English of works that provide insight into the history, literature, philosophy, and scientific and artistic achievements of other cultures; and conferences addressing a specific set of research objectives on a topic of major significance to the humanities. Applicants must make a convincing case for the importance of the project, describe sound research methods and a practical plan of work, and demonstrate that staff and institutional resources appropriate to the goals of the project are available and committed.

THE NATIONAL ENDOWMENT FOR THE HUMANITIES

"Democracy demands wisdom and vision in its citizens"
—National Foundation on the Arts and the Humanities Act of 1965

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

Support is available for various combinations of scholars, consultants, and research assistants; project-related travel; and technical support and services. All grantees are expected to publish or in other ways to disseminate the results of their work.

These grants support full-time or part-time activities for periods of up to three years. Support is available for various combinations of scholars, consultants, and research assistants; project-related travel; and technical support and services. All grantees are expected to publish or in other ways to disseminate the results of their work.

Projects resulting in the preparation of bibliographies, descriptive catalogues, dictionaries, encyclopedias, databases, or other research tools or reference works should be submitted to the Division of Preservation and Access.

What is Not Supported

The Endowment supports projects that involve historical and philosophical approaches to the social sciences but does *not* support empirical social scientific research, specific policy studies, or educational or technical impact assessments. In addition, this program does *not* provide support for research undertaken in the pursuit of an academic degree; the preparation or publication of textbooks; archaeological surveys to determine the feasibility of excavation, inventories of regions, sites, or collections, or materials analysis whose primary goal is refinement of a method; projects that focus on pedagogical theory, research in educational methods, tests, or measurements, or cognitive psychology; and 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.

Size of Awards

Awards normally range from $10,000 to $200,000, and the use of federal matching funds is encouraged. Federal matching funds are released when a grantee secures gift funds from eligible third parties. Because of the limited funds available for support of research, the Endowment normally can contribute only part of the funds needed to carry out a project. Requests for more than $100,000 should include the use of matching funds.

Eligibility for NEH Support

Individuals or nonprofit institutions and organizations in the United States are eligible for support. To be eligible to receive NEH funding, institutional applicants must have obtained tax-exempt status from the Internal Revenue Service. When accepting a grant, the recipient certifies that it has tax-exempt status. U.S. citizens are eligible to apply as individual applicants, as are foreign nationals who have been legal residents in the United States or its jurisdictions for a period of at least the three years immediately preceding the submission of the application.

Applications Requesting Renewed Funding

An applicant may submit, at the regular deadline, a proposal for a new period of funding to continue or complete a project that has received previous NEH funding. These applications are judged in competition with the applications for new projects. An application requesting renewed funding must discuss the goals, including productivity and cost effectiveness goals, that were established at the outset of the previous grant and must provide a convincing case for additional Endowment support.

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 500 scholars, professionals in the humanities, and other experts serve on approximately 100 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. In this program the judgment of panelists is supplemented by individual reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the application under review.

The advice of evaluators is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then 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.

Examples of Funded Projects

Two scholars will complete an edition of the correspondence of Robert and Elizabeth Barrett Browning. They will publish the results as a complete and fully transcribed CD-ROM edition, with notes identifying correspondents, dating letters, and clarifying textual irregularities. The editors emphasize that electronic publication will allow them to include all of the known correspondence. In addition, digital storage enables swift data retrieval for those using the edition, since all proper nouns, titles, and other key words will be linked with search routes. With thirteen print volumes covering the correspondence up to the time of the Brownings' elopement and move to Italy already published, the project director will concentrate on completing editorial work on the remaining letters and perfecting a software program to convert the entire encoded text to one compatible with CD-ROM publication.

About 500 scholars, professionals in the humanities, and other experts serve on approximately 100 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds.

A photographic historian plans collaboration with an urban historian to write a study of the work of Jacob Riis, influential social reformer whose photographs of New York's lower East Side form a unique record of urban poverty at the turn of the century. The Museum of the City of New York recently catalogued and reprinted its Riis collection, which consists of nearly one thousand glass negatives, lantern slides, and vintage prints. The two historians will now analyse the photographs to explore questions of identification, dating, Riis's use of the images in publications and lectures, and the public reception of his work. They intend to examine his career and images in the context of the development of photography, law enforcement, and social reform, and by "mapping" the locales and subjects used by Riis in his photographs and writings to contribute to what we know about New York's inhabitants and built environment in the late nineteenth and early twentieth centuries.

A team of archaeologists in collaboration with several historians applies for support to continue excavation, research, and publication of the fort and colonial settlement at Jamestown, Virginia. During the previous grant period, the team discovered the remains of the original fort, thought to have been destroyed by estuarine erosion. The team plans to continue excavation and to develope a database of artifacts that will be available to scholars and students for future research. The archaeological method proposed will address historical questions concerning international trade patterns, military and architectural history, life expectancy, health, diet, and habits in the earliest days of European settlement in the Chesapeake region. Preliminary reports of the research will be quickly disseminated in print and on the Internet. The project director's efforts to disseminate results to a broad public through lectures, exhibits, and the Internet serves to attract donors whose contributions to the project are used to release federal matching funds.

Two scholars of Chinese history propose an international conference on the social, economic, and cultural aspects of the history of printed books in late imperial and early modern China. Recognizing that past research has concentrated largely on the study of rare editions and the history of printing technology, the organizers have commitments from scholars whose presentations will throw light on issues such as the impact of commercial publishing and marketing on levels of literacy, the classification of knowledge, and the creation of a common culture for different ethnic and linguistic groups. The organizers will provide the presenters with a list of the focal issues guiding the conference. Advance distribution of the papers will enable conference sessions to concentrate on critiques, the authors' responses, and discussion. Publication of the papers, revised after the conference, will bring the results of the conference to a wide range of scholars and students.

Evaluation Criteria

Evaluators are asked to apply the following five evaluation criteria as appropriate:

1. The intellectual significance of the project, including its potential contribution to scholarship in the humanities; its relationship to larger themes or issues in the humanities; and the significance of the material on which the project is based.

2. The pertinence of the research questions posed in the project; the appropriateness of the research methods, critical apparatus, editorial policies, translation approaches, or conference design; the thoroughness and feasibility of the work plan; the quality of the samples, e.g., their content, accuracy, readability, and the clarity and helpfulness of annotations; and the appropriateness of the field work to be undertaken, the archives or source materials to be studied, and the research site.

3. The qualifications and expertise of the project director and key project staff or contributors, and the appropriateness of the chosen staff to the goals of the project.

4. The quality and usefulness of any resulting publication, product, or outcome, including the benefit to the audience identified in the proposal; in the case of archaeology projects, the likelihood the project will produce an interpretive study; and the soundness of the dissemination plans, including the strength of the case for producing print volumes, microform, digital format, or a combination of media.

5. The potential for success, including the likelihood that the project will be successfully completed within the projected time frame; where appropriate, the project's previous record of success; and the cost effectiveness of the project.

Preliminary Proposal

Those intending to apply for Collaborative Research grants are strongly encouraged to submit a draft of the narrative and budget sections of the proposal at least six weeks before the application deadline. An Endowment staff member will read the draft and offer advice regarding the eligibility, substance, and format of the proposal. Staff responses to preliminary proposals are not part of the formal review process. Once the Endowment has received a formal application, staff will not comment on the status of that application except with respect to questions of completeness or eligibility. Lists of projects funded in previous years and copies of successful proposals are available on request.

Those intending to apply for Collaborative Research grants are strongly encouraged to submit a draft of the narrative and budget sections of the proposal at least six weeks before the application deadline.

Narrative descriptions must be limited to 20 or fewer double-spaced pages (approximately 6,000 or fewer words), with appendices used to provide appropriate supplementary material, such as concise (maximum of two pages each) and current résumés.

Preparation of Application

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. Titles of projects should be brief, descriptive, and substantive. Prospective applicants are advised to review carefully the evaluation criteria listed above and to address them in the proposal. Narrative descriptions must be limited to 20 or fewer double-spaced pages (approximately 6,000 or fewer words), with appendices used to provide appropriate supplementary material, such as concise (maximum of two pages each) and current résumés.

NEH Application Cover Sheet

The required form and instructions for its completion are on pages 16-19.

Statement of Significance and Impact of Project

This should be a one-page abstract for a non-specialist audience stating clearly why the project is important, what difference the results of the project will make, and to whom. The statement should explain the importance of the proposed research to larger issues or themes in the humanities.

Table of Contents

The table of contents should list the parts of the application and the subdivisions within them.

List of Project Participants

On a separate page, please list in alphabetical order, last names first, the names of all participants and collaborators in the project and include their institutional affiliations, if any. If the project has an advisory board, do not include the members of the board here, but list them in the Project Staff section described below. The list of project participants will be used to ensure that prospective panelists and reviewers have no conflict of interest with the project they will be evaluating.

Narrative Description

Prepare a detailed project description limited to 20 or fewer double-spaced pages (approximately 6,000 or fewer words). It should include the following sections:

Substance and Context. Provide a clear and concise explanation of the nature of the project and its value to scholars, students, and general audiences in the humanities. Applicants should describe the scope of the

research, the source materials, the relationship of the research to other published and ongoing work in the field, and the major issues to be addressed. Applicants should provide a bibliographical essay in the narrative section or a bibliography of relevant primary and secondary sources in the appendix.

History and Duration of the Project. Provide a concise history of the project, including any preliminary research or planning, the financial support the project has already received, information on previous publications, and the resources or research facilities available for the project. If work on the project will continue after the proposed period of the grant, the applicant should provide details about such work and probable sources of support.

Project Staff. Identify the project participants, describe their responsibilities, and state their qualifications for undertaking their assignments. Résumés for the major participants should be included in an appendix. Project directors must be in charge of their projects and must devote a significant portion of their time to them. All persons directly involved in the conduct of the grant--whether or not their salaries are paid from grant funds--should be named, their anticipated commitments of time should be indicated, and the nature of their collaboration explained. If the project has an advisory board, a statement of its function and a list of board members should be provided.

Methods. Explain and justify the project's methods. The applicant should explain how the central research questions will be approached, what intellectual strategy will be employed, and how any potential difficulties in working with primary source materials will be resolved.

- If computer use is limited to word processing, only a brief statement is required. But if the adaptation of commercial software is necessary or if new software must be developed, applicants should describe these tasks and indicate the resources required and the staff's experience with these tasks.
- An applicant preparing an edition or translation should provide information about the original texts or documents, and should discuss in some detail such matters as how an authoritative text is to be established; the proportion of the total number of existing documents an edition will represent and what selection criteria will be used; the procedures adopted for control of the documents; and the principles to be followed in the transcription of materials, emendation, regularization, or modernization of the original materials.
- An applicant proposing a conference should specify the critical issues to be addressed; identify the presenters and commentators and explain the criteria and procedures by which they have been selected; describe in detail the presenters' topics, their qualifications, and their expected contributions to the conference; provide information about the conference's daily program and local arrangements.

All persons directly involved in the conduct of the grant--whether or not their salaries are paid from grant funds--should be named, their anticipated commitments of time should be indicated, and the nature of their collaboration explained.

Provide a detailed description of the proposed organization and implementation of the project. It is advisable to provide a plan of work by six-month periods that delineates the stages by which the project will be carried out, describes what will be accomplished during each stage, and identifies the staff members who will be involved in the various stages.

- An applicant proposing field work should discuss the appropriateness of the methodology, including a clear and explicit discussion of the links between the project's interpretive questions and the methods of collection and analysis.

Work Plan. Provide a detailed description of the proposed organization and implementation of the project. It is advisable to provide a plan of work by six-month periods that delineates the stages by which the project will be carried out, describes what will be accomplished during each stage, and identifies the staff members who will be involved in the various stages.

Final Product and Dissemination. Describe publication plans and provide, if possible, an informative outline of the publication. Any pertinent correspondence with a publisher, such as a letter of interest, should be included. Applicants should discuss the form chosen for the final product (printed articles or books, microform, electronic media, or some combination) and the rationale for the choice. If the project involves materials currently under copyright, the applicant should indicate what has been done to secure the necessary permission for publication of the materials. If an electronic edition is being proposed, applicants should seek the advice of Endowment staff on additional information that would be useful for evaluators.

Project Budget

A budget form and instructions for its completion are included in this booklet. Any proposed equipment purchase must be fully justified.

Appendices

The appendices should be limited to supplementary but essential materials. These materials should include a brief résumé (two page maximum) for each project participant and letters of commitment from outside participants and cooperating institutions. Illustrative or descriptive material from preliminary work or previous periods of support may be included in the appendix but should be limited to essential information.

Applicants may include a bibliography of relevant primary and secondary literature.

- If a translation is being proposed, applicants must provide a five-to-seven page, double-spaced sample, with appropriate sample annotations, of the translation to be undertaken, together with a photocopy of the same passage in the original language. Applicants should choose passages that illustrate the importance of the original and the degree of difficulty of the text.

- If an edition is being proposed, applicants should include samples of the material to be edited of sufficient length and complexity to convey a

clear idea of the methodology and final form of the proposed edition. Because the samples should illustrate the editorial principles and procedures described in the narrative description, photocopies of the original documents must be included. The samples chosen should also illustrate the significance of the materials to be edited and should be carefully checked for accuracy.

- If a conference is being proposed, applicants should provide a copy of the program, letters of commitment from presenters and cooperating institutions, résumés (two-page minimum) for the conference organizers, and a paragraph devoted to the pertinent qualifications of each person listed in the program.

- If an archaeological excavation is being proposed, applicants should include appropriate plans, maps, and photographs, and evidence that all necessary permits will be forthcoming. Evidence of publication of any previous field work at the site should be included.

Statement of History of Grants

If the project has received previous support from any federal or nonfederal sources, including the NEH, please list the sources, dates, and amounts of these funds. If the project has a long history of support, the sources and contributions may be grouped and summarized.

SUBMISSION OF APPLICATION

List of Suggested Reviewers

On a separate sheet of paper, applicants should provide the names and addresses of six to eight disinterested persons who can provide impartial evaluations of the proposal. Endowment staff will consult this list, along with other sources, in choosing reviewers for the proposal. The suggested reviewers should be experts either in the particular area of the application or on the proposed methodology, or they should be scholars whose expertise and broad knowledge lend weight to their judgments. Applicants may explain briefly a person's appropriateness as an evaluator. Applicants should not discuss their proposals with the potential reviewers. Applicants are advised that some potential reviewers are excluded from consideration because of federal rules governing conflict of interest. These exclusions apply to immediate relatives of project staff members, all employees of the applicant institution, and all others who can be deemed to benefit financially from the project if it is funded. Also excluded are the applicants' dissertation advisors and individuals who have been or will be involved in the project.

The suggested reviewers should be experts either in the particular area of the application or on the proposed methodology, or they should be scholars whose expertise and broad knowledge lend weight to their judgments. Applicants may explain briefly a person's appropriateness as an evaluator.

The complete application package must be postmarked no later than September 1. *The Endowment acknowledges receipt of applications within approximately four weeks of the deadline.*

Copies of Application

Applicants should submit *fifteen* copies of the application, including one copy with the original, signed cover sheet. Each copy of the application contains:

1. NEH Application Cover Sheet (on form provided)
2. Statement of Significance and Impact
3. Table of Contents
4. List of Project Participants
5. Narrative Description
6. Project Budget (on form provided)
7. Appendices
8. Statement of History of Grants

Additional Materials

Include *two* copies of the list of suggested reviewers, *three* additional copies of the cover sheet, and *one* additional copy of the list of projected participants.

Mail completed application package to:
Collaborative Research, Room 318
Division of Research and Education Programs
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C 20506

Applications may not be submitted to NEH by means of a FAX machine or via electronic mail.

Applicants may find helpful the Application Checklist on inside back cover.

Deadline

The complete application package must be postmarked no later than *September 1*. The Endowment acknowledges receipt of applications within approximately four weeks of the deadline. The review of applications for Collaborative Research requires approximately seven months, and applicants are notified of the Endowment's decision early in April. Funds would be available as early as May 1.

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 Section 106 of the National Historic Preservation Act of 1966, as amended;

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 not 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 from the NEH World Wide Web site, http://www.neh.fed.us/, or from the NEH Grants Office, room 311, Washington, D.C. 20506, 202/606-8494.

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 fifty-six hours per response. This estimate includes 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, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 20503.

NEH APPLICATION COVER SHEET INSTRUCTIONS

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 also is requested in Blocks 2 and 11.) When an application is submitted by an individual, enter the name and address of the individual.

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 or project director'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. Enter FAX and E-Mail numbers if applicable.

Item d. If possible, indicate the code for the appropriate major field from the list of Field of Project Categories and Codes on the reverse side of the NEH Application Cover Sheet.

Block 2—Type of Applicant

Check either (a) or (b).

Only an applicant applying as an unaffiliated individual should check the "individual" box. A project director affiliated with an institution must apply through that institution if the project will make use of the institution's resources, for example, the library, computer center, office space, clerical assistance, etc. If the project does not use such resources, the project director may apply as an individual; but in such cases the Endowment must receive a statement from the institution indicating awareness of the project director's submission of an application.

For those who checked (a) ONLY: Please indicate an institutional affiliation, if applicable, in Block 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-year college, 4-year college, etc.), library (public, research, etc.), center (advanced study, research, etc.). Identify *Status* as either Private Nonprofit or Unit of State or Local Government. Example: *Type*: Historical Society. *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
The title of the program is preprinted.

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. NEH is obliged to be as clear as possible to the public about awards that it makes. The descriptive title will be used for this purpose whenever possible, but the Endowment staff may assign a different working title.

Block 9—Description of Project
Provide a brief description of the proposed project. Do not exceed the space provided.

Block 10—Will This Proposal Be Submitted to Another Government Agency or Private Entity for Funding?
This information is sought without prejudice to the application. NEH frequently cosponsors projects with other funding sources. If not applicable, indicate "N/A."

Block 11—Institutional Data
Item a. Indicate the name of the institution and the city and state of its official mailing address.
Item b. Enter the institution's employer identification number.
Item c. Indicate the name and title of the person who is authorized to submit applications on behalf of the institution or organization and to provide the certifications required in Block 12.
Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and telephone number of the person who will be responsible for the financial administration of the grant if an award is made. For example, at many universities the provost, vice president, president, or chancellor is the person "authorized" to submit an application (see item c), but the actual administration of the project—such as, negotiating the project budget and ensuring compliance with the terms and conditions

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.

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 statues. 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 from the NEH World Wide Web site, http://www.neh.fed.us/, or from the NEH Grants Office, room 311, Washington, D.C. 20506, 202/606-8494.

NATIONAL ENDOWMENT FOR THE
HUMANITIES

COLLABORATIVE RESEARCH APPLICATION COVER SHEET

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

1 Individual applicant or project director

a. Name and mailing address:

(last) (first) (initial)

(city) (state) (zip code)

b. Form of address:

c. Telephone numbers

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

FAX: / (area code) E-Mail:

d. Major field of applicant or project director: (code)

e. Citizenship: ☐ U.S. ☐ Other: (country) (month/year)

2 Type of applicant

a. ☐ by an individual b. ☐ through an organ./institution

If a, indicate an institutional affiliation, if applicable, on line **11a**.
If **b**, complete block **11** below and indicate here:

c. Type

d. Status

3 Type of application

a. ☒ new b. ☐ supplement

If **b**, indicate previous grant number

4 Program to which application is being made

Collaborative Research

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: / (area code) Form of address:

FAX: / (area code) E-Mail:

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.

For NEH use only

Date received Application # Initials

Field of Project Categories and Codes

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

Anthropology	**L1**
Archaeology	**U6**
Archival Management/ Conservation	**I1**
Arts/History and Criticism	**MA**
Architecture: History & Criticism	**U3**
Art: History & Criticism	**M1**
Dance:History & Criticism	**M3**
Film:History & Criticism	**M4**
Music:History & Criticism	**M5**
Theater:History & Criticism	**M2**
Communications	**P2**
Composition & Rhetoric	**P1**
Journalism	**P4**
Media	**P3**
Education	**H1**
Ethnic Studies	**K1**
Asian American	**K5**
Black/African-American	**K4**
Hispanic American	**K3**
Jewish	**K6**
Native American	**K2**
History	**A1**
African	**A2**
American	**A3**
Ancient	**AC**
British	**A4**
Classical	**A5**
European	**A6**
Far Eastern	**A7**
Latin American	**A8**
Near Eastern	**A9**
Russian	**AA**
South Asian	**AB**
Humanities	**U8**
Interdisciplinary	**U1**
African Studies	**GI**
American Studies	**G3**
Area Studies	**GH**
Asian Studies	**G5**
Classics	**G7**
Folklore/Folklife	**R1**
History/Philosophy of Science, Technology, or Medicine	**GA**
International Studies	**GG**
Labor Studies	**G4**
Latin American Studies	**GJ**
Medieval Studies	**G8**
Regional Studies	**GF**
Renaissance Studies	**G9**
Rural Studies	**GC**
Urban Studies	**G2**
Western Civilization	**GB**
Women's Studies	**G1**

Languages	**C1**
Ancient	**CC**
Asian	**CA**
Classical	**C2**
Comparative	**C9**
English	**CE**
French	**C3**
German	**C4**
Italian	**C5**
Latin American	**C6**
Near Eastern	**CB**
Slavic	**C7**
Spanish	**C8**
Law/Jurisprudence	**Q1**
Library Science	**H3**
Linguistics	**J1**
Literature	**D1**
African	**DK**
American	**DE**
Ancient	**DC**
Asian	**DA**
British	**DD**
Classical	**D2**
Comparative	**D9**
French	**D3**
German	**D4**
Italian	**D5**
Latin American	**D6**
Literary Criticism	**DI**
Near Eastern	**DB**
Slavic	**D7**
Spanish	**D8**
Museum Studies/Historic Preservation	**I2**
Philosophy	**B1**
Aesthetics	**B2**
Epistemology	**B3**
Ethics	**B4**
History of Philosophy	**B5**
Logic	**B6**
Metaphysics	**B7**
Non-Western Philosophy	**B8**
Religion	**E1**
Comparative Religion	**E5**
History of Religion	**E2**
Non-Western Religion	**E4**
Philosophy of Religion	**E3**
Social Science	**U2**
American Government	**F2**
Economics	**N1**
Geography	**U7**
International Relations	**F3**
Political Science	**F1**
Psychology	**U5**
Public Administration	**F4**
Sociology	**S1**

BUDGET INFORMATION, INSTRUCTIONS, AND FORMS

Project Budget

The Budget Form and instructions for completing it follow.

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 fun ds should identify potential sources of gift funds at the time they submit an application to the Endowment. (See "Eligible Gifts and Donors" on page 30.)

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 an additional $5,000 from an eligible third-party donor, the applicant should request $5,000 in matching funds. The balance of the project's costs ($30,000) 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.

Cost Sharing. Because of the limited funds available for support of research, the Endowment normally can contribute only part of the funds needed to carry out projects. Cost sharing consists of the cash contributions made to the project by the applicant and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. For institutional applicants, the federal contribution to a project--which includes funds requested from the Endowment and other federal

sources--generally will not exceed and is rarely as much as) 80 percent of the total project cost; the balance of the project costs are to be shared by nonfederal sources. Cost sharing in renewal applications is usually significantly higher than in the previous proposal. Individual applicants need not show cost sharing in their applications unless they are requesting federal matching funds, in which case the gifts are shown as cost sharing. Individual applicants who receive grants only in outright funds are not expected to provide cost sharing.

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 must occur during the grant period. Projects can include full- or part-time activities for periods of up to three years.

National Endowment for the Humanities

BUDGET INSTRUCTIONS

Before developing a project budget, applicants should review those sections of the program guidelines and application instructions that discuss cost-sharing requirements, the different kinds of Endowment funding, limitations on the length of the grant period, and any restrictions on the types of costs that may appear in the project budget.

Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. All project activities must take place during the requested grant period.

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions (cost-sharing).

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken that expenses that are included in the organization's indirect cost pool (see Indirect Costs) are not charged to the project as direct costs.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of $5,000 or more.

Services

The costs of project activities to be undertaken by a third-party contractor should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be attached to the NEH budget. If there is more than one contractor, each must be budgeted separately on the NEH form and must have an attached itemization.

Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency may choose one of the following options:

1. The NEH will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10 percent of direct costs, less distorting items (e.g., capital expenditures, participant stipends, major subcontracts), up to a maximum total project charge of $5,000 per year. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.)

2. If your organization wishes to use a rate higher than 10 percent or claim more than $5,000 in indirect costs per year, an estimate of the indirect cost rate and the charges should be provided on the budget form. If the application is approved for funding, you will be instructed to contact the NEH Office of the Inspector General to develop an indirect cost proposal.

SAMPLE BUDGET COMPUTATIONS

			NEH Funds (a)	Cost Sharing (b)	Total (c)
Salaries and Wages					
Jane Doe/Project Director	[ ]	9 months x 100% @ $40,000/academic yr.	$20,000	$20,000	$40,000
Jane Doe	[ ]	1 summer month x 100% @ $3,000	$ 3,000	_____	$ 3,000
John Smith/Research Assistant	[ ]	6 months x 50% @ $30,000/yr.	$ 7,500	_____	$ 7,500
Secretarial Support	[ ]	3 months x 100% @ $20,000/yr.	$ 5,000	_____	$ 5,000
Fringe Benefits					
15% of $50,500			$ 4,775	$ 2,800	$ 7,575
10% of $ 5,000			$ 500	_____	$ 500

Travel	no. of persons	total travel days	subsistence costs	+ transport. costs	=			
New York City/Chicago	[2]	[4]	$800	$600		$ 1,400	_____	$ 1,400
Various/Washington D.C. conf.	[5]	[10]	$750	$500		$ 1,250	_____	$ 1,250

Consultant Fees				
Epistemologist	5 days @ $100/day	$ 500	_____	$ 500
Services				
Long Distance Telephone	est. 40 toll calls @ $3.00	$ 120	_____	$ 120
Conference Brochure	50 copies @ $3.50/copy	$ 175	_____	$ 175
TOTAL DIRECT COSTS		$44,220	$22,800	$67,020
Indirect Costs				
20% of $67,020		$ 8,850	$ 4,554	$13,404
TOTAL PROJECT COSTS (Direct and Indirect)		$53,070	$27,354	$80,424

National Endowment for the Humanities
BUDGET FORM

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

Project Director	If this is a revised budget, indicate the NEH application/grant number:
Applicant Organization	Requested Grant Period FROM_____ THRU _____ (mo/yr) (mo/yr)

The three-column budget has been developed for the convenience of those applicants who wish to identify the project costs that will be charged to NEH funds and those that will be cost shared. **FOR NEH PURPOSES, THE ONLY COLUMN THAT NEEDS TO BE COMPLETED IS COLUMN C.** The method of cost computation should clearly indicate how the total charge for each budget item was determined. If more space is needed for any budget category, please follow the budget format on a separate sheet of paper.

When the requested award period is eighteen months or longer, separate budgets for each twelve-month period of the project must be developed on duplicated copies of the budget form.

SECTION A - budget detail for the period FROM _____ THRU_____
mo/yr mo/yr

1. Salaries and Wages. Provide the names and titles of principal project personnel. For support staff, include the title of each position and indicate in brackets the number of persons who will be employed in that capacity. For persons employed on an academic year basis, list separately any salary charge for work done outside the academic year.

name/title of position	no.	method of cost computation (see sample)	**NEH Funds** (a)	**Cost Sharing** (b)	**Total** (c)
_____	[ ]	_____	$_____	$_____	$_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

2. Fringe Benefits. If more than one rate is used, list each rate and salary base.

rate	salary base	(a)	(b)	(c)
_____% of	$_____	$_____	$_____	$_____
_____% of	$_____	_____	_____	_____
	SUBTOTAL	$_____	$_____	$_____

3. Consultant Fees. Include payments for professional and technical consultants and honoraria.

name or type of consultant	no. of days on project	daily rate of compensation	(a)	(b)	(c)
_____	_____	$_____	$_____	$_____	$_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

4. Travel. For each trip, indicate the number of persons traveling, the total days they will be in travel status, and the total subsistence and transportation costs for that trip. When a project will involve the travel of a number of people to a conference, institute, etc., these costs may be summarized on one line by indicating the point of origin as "various." All foreign travel must be listed separately.

from/to	no. persons	total travel days	subsistence costs +	transportation costs =	**NEH Funds (a)**	**Cost Sharing (b)**	**Total (c)**
_____	[ ]	[ ]	$_____	$_____	$_____	$_____	$_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
_____	[ ]	[ ]	_____	_____	_____	_____	_____
				SUBTOTAL	$_____	$_____	$_____

5. Supplies and Materials. Include consumable supplies, materials to be used in the project and items of expendable equipment; i.e., equipment items costing less than $5,000 and with an estimated useful life of less than one year.

item	basis/method of cost computation	(a)	(b)	(c)
_____	_____	$_____	$_____	$_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
	SUBTOTAL	$_____	$_____	$_____

6. Services. Include the cost of duplication and printing, long distance telephone, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or in the indirect cost pool. For subcontracts provide an itemization of subcontract costs on this form or on an attachment.

item	basis/method of cost computation	(a)	(b)	(c)
_____	_____	$_____	$_____	$_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
	SUBTOTAL	$_____	$_____	$_____

7. Other Costs. Include participant stipends and room and board, equipment purchases, and other items not previously listed. Please note that "miscellaneous" and "contingency" are not acceptable budget categories. Refer to the budget instructions for the restriction on the purchase of permanent equipment.

item	basis/method of cost computation	**NEH Funds** (a)	**Cost Sharing** (b)	**Total** (c)
_____	_____	$_____	$_____	$_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
	SUBTOTAL	$_____	$_____	$_____

8. Total Direct Costs (add subtotals of items 1 through 7) **$**_____ **$**_____ **$**_____

9. Indirect Costs (This budget item applies only to institutional applicants.)
If indirect costs are to be charged to this project, **CHECK THE APPROPRIATE BOX BELOW** and provide the information requested. Refer to the budget instructions for explanations of these options.

[ ] Current indirect cost rate(s) has/have been negotiated with federal agency. (Complete items A and B.)

[ ] Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item A and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item B.)

[ ] Indirect cost proposal will be sent to NEH if application is funded. (Provide an estimate in item B of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)

[ ] Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of $5,000 per year. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or $5,000, whichever sum is less.)

A. _____ _____
name of federal agency date of agreement

B.

rate(s)	base(s)	**NEH Funds** (a)	**Cost Sharing** (b)	**Total** (c)
_____% of	$_____	$_____	$_____	$_____
_____% of	$_____	_____	_____	_____
	TOTAL INDIRECT COSTS	$_____	$_____	$_____

10. Total Project Costs (direct and indirect) for Budget Period $_____ $_____ $_____

SECTION B - Summary Budget and Project Funding

SUMMARY BUDGET

Transfer from section A the total costs (column c) for each category of project expense. When the proposed grant period is eighteen months or longer, project expenses for each twelve-month period are to be listed separately and totaled in the last column of the summary budget. For projects that will run less than eighteen months, only the last column of the summary budget should be completed.

Budget Categories	First Year/ from: thru:	Second Year/ from: thru:	Third Year/ from: thru:		TOTAL COSTS FOR ENTIRE GRANT PERIOD
1. Salaries and Wages	$_____	$_____	$_____	=	$_____
2. Fringe Benefits	_____	_____	_____	=	_____
3. Consultant Fees	_____	_____	_____	=	_____
4. Travel	_____	_____	_____	=	_____
5. Supplies and Materials	_____	_____	_____	=	_____
6. Services	_____	_____	_____	=	_____
7. Other Costs	_____	_____	_____	=	_____
8. **Total Direct Costs (items 1-7)**	$_____	$_____	$_____	=	$_____
9. Indirect Costs	$_____	$_____	$_____	=	$_____
10. **Total Project Costs (Direct & Indirect)**	$_____	$_____	$_____	=	$_____

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

I. Requested from NEH:

Outright $_____

Federal Matching $_____

TOTAL NEH FUNDING $_____

II. Cost Sharing:[1]

A. Third-Party Contributions $_____

B. Applicant's Contributions $_____

TOTAL COST SHARING $_____

III. Funding from Other Federal Agencies: $_____

TOTAL COST SHARING AND FUNDING FROM OTHER FEDERAL AGENCIES (II + III) $_____

TOTAL PROJECT FUNDING (Total of I + II + III)[2] = $_____

[1] Under Cost Sharing, line II.A. should indicate the amount of contributions to be made by third parties (including any third-party cash gifts that will be raised to release federal matching funds). On line II.B., indicate the amount that will be contributed to the project by the applicant institution. NOTE that the Endowment's cost-sharing expectations may be met either through contributions from third parties or from the institution's own resources.

[2] Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator/Individual Applicant. The signature of this person indicates approval of the budget submission and the agreement of the organization/individual to cost share project expenses at the level indicated under "Project Funding."

_____ Telephone (_____)_____

Name and Title (please type or print)

_____ Date_____

Signature

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:

- The grantee must have a financial management system that records separately within its general accounting system the receipt and disbursement of grant funds 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 311, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.)

- All commitments and obligations of grant funds are to occur during the grant period.

- 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:

  - Changes in the project's scope or objectives; and
  - The replacement of the project director, the codirector, or other project personnel specifically named in the award notice.

- Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.

- Unless advised to the contrary, all materials publicizing or resulting from grant activities shall contain an acknowledgment of NEH support.

- If a grantee earns income from grant activities or products that result from grant activities, the Endowment reserves the right to recover a portion of the program income.

- The grantee shall be directly responsible for the administration and supervision of the project. Unless specifically approved in writing by the Endowment, the grantee may not award a subgrant or contract to a third party for substantive programmatic work on the project.

- Grantee organizations receiving $300,000 or more in federal awards during their fiscal year are required to have an audit performed that meets the requirements of either OMB Circular A-133, "Audits of Institutions of Higher Education and Other Nonprofit Organizations" or OMB Circular A-128, "Audits of State and Local Governments." Copies of these circulars may be obtained from the NEH Grants Office.

ELIGIBLE GIFTS AND DONORS

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

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

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

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

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

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-FreeWorkplace Requirements (Drug-Free Workplace Act of 1988).

Alternate I. (Applies to Grantees Other Than Individuals)

(A) The grantee certifies that it will 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

Appendix. The following 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 311, National Endowment for the Humanities, Washington, D.C. 20506. Telephone: 202/606-8494.

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.

APPLICATION CHECKLIST FOR COLLABORATIVE RESEARCH

___ 1. Fifteen copies of the application, each copy including, in this order,

- ___ a. NEH Application Cover Sheet* (the original signed in ink);
- ___ b. Statement of Significance and Impact;
- ___ c. Table of Contents;
- ___ d. List of Project Participants;
- ___ e. Narrative Description;
- ___ f. NEH Budget Form*;
- ___ g. Appendices;
- ___ h. Statement of History of Grants.

___2. Two copies of the List of Suggested Reviewers.

___3. Three additional copies of the NEH Application Cover Sheet.

___4. One additional copy of the List of Project Participants.

*please use the form provided

DIVISION OF RESEARCH AND EDUCATION PROGRAMS

Fellowships and Stipends 202/606-8467 email: fellowsuniv@neh.fed.us	Fellowships--May 1 Summer Stipends--October 1 Historically Black College and University Faculty--March 15
Education Development and Demonstration 202/606-8380 email: education@neh.fed.us	Education Development and Demonstration--October 1 Humanities Focus Grants--January 15, September 15
Research 202/606-8210 email: research@neh.fed.us	Collaborative Research--September 1 Fellowship Programs at Independent Research Institutions--September 1
Seminars and Institutes 202/606-8463 email: research@neh.fed.us	Seminar and Institute Directors--March 1 for seminars and institutes to be held the next year Seminar and Institute Participants--March1 for projects to be held the same year

Through grants to educational institutions, fellowships to scholars and teachers, and support of significant research, this division strengthens sustained, thoughtful study of the humanities at all levels of education and promotes original research in the humanities. Application deadlines listed below may change because of budget uncertainties. Please contact programs to confirm deadlines.

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Division of Research and Education Programs
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