



National
Endowment
for the
Humanities

Division
of
Research
Programs

Guidelines and
Application
Instructions

Publications

Program

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DIVISION OF RESEARCH PROGRAMS
Telephone Directory
and
Schedule of Deadlines

Director (202) 724-0226
Deputy Director (202) 724-0226

PROGRAMS	DEADLINES	FOR PROJECTS BEGINNING
Research Resources 724-0341	June 1, 1983	April 1, 1984
U. S. Newspaper Projects	January 15, 1983	July 1, 1983
Research Materials 724-1672		
Research Tools and Reference Works; Editions	October 1, 1983	July 1, 1984
Translations	July 1, 1983	April 1, 1984
Publications	November 1, 1982 May 1, 1983	April 1, 1983 October 1, 1983
General Research 724-0276		
Basic Research	February 1, 1983	January 1, 1984
Archaeology	February 1, 1983	January 1, 1984
Regional Studies	February 1, 1983	January 1, 1984
Research Conferences	February 1, 1983 September 15, 1983	October 1, 1983 April 1, 1984
Humanities, Science, and Technology:		
* Joint NEH-NSF Program		
- Individual Awards	February 1, 1983 August 1, 1983	October 1, 1983 April 1, 1984
- Collaborative Projects	February 1, 1983 August 1, 1983	October 1, 1983 April 1, 1984
Intercultural Research 724-0226	February 15, 1983	July 1, 1983

NOTE
This schedule of deadlines supersedes all previous notices.
(12/3/82)

INTRODUCTION

Public Law 209 (1965), which established the Endowment, states that "the encouragement and support of...scholarship in the humanities... is an appropriate matter of concern to the Federal Government"; that a "high civilization must...give full value and support to...great branches of man's scholarly and cultural activity in order to achieve a better understanding of the past, a better analysis of the present, and a better view of the future"; and that "world leadership...must be solidly founded upon worldwide respect and admiration for the Nation's high qualities as a leader in the realm of ideas and of the spirit."

Historically, high civilizations do support publicly the work of scholars and thinkers, recognizing that even the most technical and abstruse work of scholarship can benefit every citizen. Support of scholarship of this kind in the national context is meager; few private foundations are sufficiently broad in their scope to include this activity, and state and local agencies find it difficult to allocate funds for this purpose against the greater needs of formal education, libraries, and museums.

The Division of Research Programs supports scholarship in the humanities and the conservation of essential facilities and resources for such scholarship. Many of the awards made through the division are for long-range, multi-year projects involving several scholars who may live and work thousands of miles from each other. A very high proportion of these grants leads to published products, often of interest to the general reader.

They range from dictionaries of American Indian languages to state histories written for the general reader. Documents processed and made accessible for study may be collections of old phonograph records, architectural drawings, or the papers of a county historical society. Translations may be of Buddhist texts of the tenth century or of Russian-American company records of the nineteenth. The meaning of the Constitution in the last third of this century is as much the Endowment's concern as the question whether semiotics is a special category of linguistics or a multi-disciplinary approach to all human understanding.

I. APPLICATION INFORMATION

According to the legislation that established the Endowment, the Humanities include, but are not limited to, the following fields: history, philosophy, languages, linguistics, literature, archaeology, jurisprudence, history and criticism of the arts, ethics, comparative religion, and those aspects of the social sciences that employ historical or philosophical approaches.

For social science projects in which statistical measurements and clinical approaches predominate, support is available from the National Science Foundation, the National Institute of Education, the National Institutes of Health, and other agencies. Endowment applicants whose projects are eligible for support from these other agencies as well as the Endowment may apply to them and to the Endowment at the same time but they should indicate on the NEH Application Cover Sheet that they are doing so.

The NEH does not support creative, original works in the arts or performance or training in the arts. Historical, critical, or theoretical studies in the arts and the preparation of reference works and resources for research in the arts, however, are eligible for support from NEH.

Research in any field that is undertaken in pursuit of an academic degree is not eligible for support. Projects concerned primarily with curriculum development should be directed to the Endowment's Division of Education Programs.

Institutions in the United States engaged in the humanities and individual United States citizens or nationals or foreign nationals who have been living in the United States or its territories for at least three years at the time of application are eligible to apply to the Division of Research Programs. Support may also be given to any individual or organization whose work promises significantly to advance knowledge and understanding of the humanities in the United States. Foreign nationals who do not meet the residency requirement may apply if they are formally affiliated with a United States educational institution and in these cases must apply through the institution. (See page 6 for eligibility requirements governing applications from foreign presses.)

II. DESCRIPTION OF PROGRAMS IN THE DIVISION OF RESEARCH

The programs of the division are organized into four broad areas, which are described briefly below. Detailed guidelines for each of the program categories are available on request. A list of awards in each of the program categories for the last fiscal year is also available.

RESEARCH RESOURCES

This program helps to preserve and make available for research varied types of documentary resources currently not readily accessible. The program helps to develop collections, to increase access to research material through processing, cataloging, and bibliographic projects, and to preserve materials of significance to humanities scholars.

RESEARCH MATERIALS

In this program support is provided for the preparation of reference works considered of the highest importance for the advancement of research in the humanities and for the general dissemination of knowledge throughout the country. There are four major areas of support: Research Tools and Reference Works, including dictionaries, atlases, encyclopedias, descriptive catalogues, grammars, and data bases; Editions; Translations; and Publications.

GENERAL RESEARCH

This program provides support for projects in all fields of the humanities and humanistic aspects of the social sciences that explore a problem through original research and creative thought. The General Research Program makes awards in three areas: Basic Research, including archaeological projects; State, Local, and Regional Studies; and Research Conferences.

INTERCULTURAL RESEARCH

This program supports grants through major organizations to enable American scholars to pursue research abroad, engage in collaborative projects, and participate in international conferences to increase understanding of the traditions, culture, and values of foreign countries as a base for the study of contemporary international affairs.

PUBLICATIONS PROGRAM

In this category, grants are made to aid the publication and dissemination of scholarly works in all fields of the humanities. Proposals from publishers requesting subvention for such works, whether or not they have resulted from previous Endowment grants, will be considered only if it can be shown that their publication would otherwise entail a significant deficit.

I. ELIGIBILITY REQUIREMENTS FOR PROJECTS AND PUBLISHERS

1. All materials which are the products of previous grants from the National Endowment for the Humanities are eligible.

2. In addition to works resulting from previous Endowment awards, works that are not the products of previous Endowment awards will also be eligible on a limited basis. Publishers may submit up to two applications for support for materials of this second kind, in any humanistic field, in any one fiscal year (beginning October 1).

3. Non-profit or commercial publishers may apply for assistance to the program. The category of "non-profit" publishers includes, along with university presses, the publishing agencies of learned societies and of state and local government.

4. Foreign presses may submit applications to the program if they meet the criteria established for domestic applications. (Especially important are the two bona fide readers' reports, budgets in dollars -- at the current exchange rate -- and adequate plans for marketing and distribution within the United States.) Proposals should be prepared in English, and readers' reports translated into English if necessary, although the language of the manuscript need not be English. At least eight weeks should be allowed to accommodate possible revisions and the program deadlines. If co-publication with an American press is planned, it is advisable to make application through the U.S. publisher.

5. The program will also accept applications from small publishing entities which do not have to pay conventional operating costs because of contributed labor or institutionally subsidized overhead. Such publishing entities should write at least eight weeks before the deadline to verify eligibility and consult staff about drafting an application.

6. Conference proceedings, collections of independent essays, festschrift volumes, and anthologies, while eligible, have not proved competitive unless they were of uniformly high quality and made possible the dissemination of materials otherwise inaccessible for research in the humanities. Revised editions of works already available to scholars have usually been assigned a low priority by evaluators.

7. Proposals to subsidize the costs of volumes of original creative writing are not eligible; prospective applicants should turn for possible help to the Literature Program of the National Endowment for the Arts.

8. Although the program has been designed for publishers of books and monographs, entities publishing journals are eligible to submit applications for aid in bringing out special issues, but not for continuing subsidy of operating costs. (Among the characteristics of the "special issue" would be a thematic unity and demonstrated significance for research, publication and sales not confined to the journal's usual schedule and subscribers, and readers' reports of the issue for which subvention is sought from scholars not on its board of editors.) Funds are not available for new periodicals or for the expansion of existing periodicals.

9. Applicants should provide evidence, both in the description of the physical form their project will take and wherever else it may be appropriate to do so, that they will observe basic standards of durability and permanence in the manufacture of books for which assistance in the program is being sought. These standards would include the use of acid-free paper (i.e., with a minimum pH of 7.5), acid-free endpapers, and Smyth-sewn bindings. Projects which do not meet these standards will be ruled ineligible for subvention.

10. Finally, the work for which an application is made must have been formally accepted by the editorial board or committee, in the case of a non-profit press, or by the responsible editor, in the case of a commercial press. The acceptance may be either a signed contract or a letter of intent.

Limitations

1. The amount of subsidy that may be received by any publisher is limited to \$30,000 in any one fiscal year (beginning October 1). The maximum subsidy for any single volume is \$10,000. In FY 1982 the average award, however, was \$5,000 per volume.

Applicants are encouraged to explore the feasibility of securing matching funds from the private sector wherever possible.

2. Royalties payable to the author(s), translator(s), or editor(s) of a work will not be allowable as one of the costs for which the subsidy is being requested from the Endowment. (See the budget page following the application instructions, where the amount of the subsidy request is determined by deducting the royalty figure from the anticipated deficit.) Publishers may, of course, pay whatever royalties they choose.

II. REVIEW OF PROPOSALS FOR PUBLICATION GRANTS

All applications for a Publications grant are evaluated competitively by outside panelists. Their recommendations are reviewed by the National Council on the Humanities and then forwarded to the Chairman of the Endowment for final approval. The successive stages in the review of an application are described below.

Preparation for Review

When formally submitted, all applications are reviewed by staff for completeness. The principal responsibility of the staff thereafter is to form one or more panels on which will rest the duty of ensuring that each proposal receives an adequate, appropriate, and impartial review. To aid in the selection of panelists the Endowment's staff draws on a computerized information system of names. All panels are reconstituted every cycle and reflect an attempt to balance different sizes of presses, geographic diversity, age, sex, and race.

Panel

A panel composed chiefly of experienced publishers is chosen by the staff and convened at the Endowment. To ensure the disinterested character of the review, presses with applications pending before a particular panel will not be represented on that panel. Panelists are sent applications well in advance of the meeting and requested to prepare initial written comments and recommendations. The panel is chaired by a senior staff member, whose task is to elicit full comments on every proposal from the panel and to respond to questions regarding Endowment policy. The panel weighs each application not only on its own merits but also on its relation to the other applications under consideration in the program, given the limited nature of available funds. Panelists receive an honorarium for their services and their names are published each year in the Endowment's annual report.

National Council on the Humanities

The National Council is composed of 26 men and women who are appointed by the President, with the consent of the Senate, to advise the Chairman of the Endowment on policy and program matters. After applications have been evaluated by panelists, the panel recommendations are brought before a committee of the National Council.

The NEH staff provides the Council Committee members with information about the proposals, the recommendations and suggestions of the panelists, and a separate staff recommendation in any instance where panelists failed to reach consensus or where substantial policy questions have been raised. After considering the recommendations of panelists, staff, the Council Committee, and the National Council, the Chairman of the Endowment makes the final decision.

Other Information

The time between submission of an application and a decision is approximately four months. Prospective applicants should take this into consideration as they plan future projects.

Applicants whose projects have not been funded may obtain information about their review by writing to the program. Revised proposals may be submitted to a subsequent cycle of the program without prejudice.

Reporting Requirements for Grantees

The specific requirements for the submission of financial expenditure reports and final narrative reports are contained in the award letters to grantees. In addition, each year for the three years subsequent to the publication date, grantees are required to submit a brief statement indicating the number of copies (or sets) of the publication sold. Single copies of scholarly reviews and information regarding awards and prizes are also most helpful.

Acknowledgment of Endowment Support

Materials resulting from Endowment grants must carry an acknowledgment of NEH support. Grantees should consult with the program's staff to determine appropriate wording and placement.

III. APPLICATION INSTRUCTIONS

All proposals should include:

A. A Cover Sheet

1. The "Project Director" (Box 1a) should be that staff member at the press primarily responsible for this particular project. (Sections 1b through 1e are not required.)

2. Requested Period (Box 5). For the November 1 deadline, the beginning date for the grant period is April 1; for the May 1 deadline, the beginning date for the grant period is October 1. If plant costs have been incurred prior to the beginning of a grant period, the budget should contain a note to that effect, and the grant should specifically request aid for printing, paper, binding, and non-manufacturing costs only. Projects already in galley or page proofs before the review process is completed are unlikely to receive subvention. The customary grant period for the program is 18 months, although the Endowment can consider grant periods of up to three years. A grant period of at least a year is advisable, so that applicants can accommodate their full schedule of publication and initial order fulfillment.

3. Requested Amount (Box 7). Complete only the NEH Total. Cost-sharing is not a requirement for Publications grants. If matching money is requested in addition to outright funds, only the matching amount requested of the NEH should be included.

4. Title of Project (Box 11). Give the title and subtitle of the manuscript and the name(s) of the author(s), editor(s), and/or translator(s). If the request is for more than one volume, this should be noted.

5. Description of Proposed Project (Box 12). Summarize the principal intent and features of the proposal and its expected contribution to research in the humanities. During the initial phase of the review, panelists receive the complete application to evaluate; this summary of the project, however, is the only element of the original application usually seen by the National Council on the Humanities at its quarterly meetings (where it is augmented by the staff's written comment conveying the rationale for the panel's recommendation).

6. Boxes 13a and 13b apply only to the specific project for which subsidy is being sought.

7. Authorizing Official (Box 14). The signature of the official who is authorized to commit an institution or organization in business and financial matters should appear in this entry. University presses should determine whether the press or the university is the appropriate authorizing institution.

B. Narrative Description

This description of the proposal should not usually exceed six pages and must include (but need not be limited to) the following:

1. A narrative account of the scholarly content of the work (which may, of course, incorporate materials prepared for the Cover Sheet) and a table of contents. If the readers' reports do not address the following issues, the panels often find it helpful to have the narrative include them: If the work is a monograph, what is the book's hypothesis? If an edition, what editorial procedures and principles were adopted in preparing the text? If a reference work, what principles of selection were exercised and what is the work's relationship to earlier books in the field?

2. A history of the evaluation and acceptance of the work by the publisher, including the date of its formal approval. If readers' reports have indicated a need for substantial revision of the manuscript, the application should make clear the author's and the press's response to such suggestions and provide assurance that such revision has been incorporated in the submitted manuscript. If the work was originally a doctoral dissertation, discuss the extent of revision. If the work was done under a previous NEH grant or fellowship, please provide the grant number and explain the relationship between that award and the present manuscript.

3. A description of the physical form of the project and an explanation of why this form seems the most appropriate for these materials and the audience for which they are intended. (Economic factors and new technologies may make it appropriate to issue certain works in nontraditional formats.) In the case of a book, please specify its length in printed pages, the trim size, the number and type of illustrations,

including any use of color, the type of paper, the method of composition, case or paper binding, the method of binding, cover and/or jacket material, printing and stamping, and any other details pertinent for the Endowment's evaluators to know. (See item 9 under Eligibility Requirements for required standards for paper and binding.) The budget must be commensurate with the physical form.

4. A curriculum vitae of the author(s), editor(s), or translator(s) of the work and outside readers' credentials as they apply to an evaluation of the manuscript in question.

5. If the project involves multiple volumes, the application should also contain a publication history of the series to date, accompanied by a financial history attached to the budget for the new volume or volumes (see item 3 under Budget), and an estimate of how many additional volumes are anticipated and their proposed dates of publication.

C. Readers' Reports and Reviews

Applications must be accompanied by at least two unmasked readers' reports that evaluate the volume's scholarly importance or the way in which it will facilitate research in the humanities. These reports will be held confidential by the staff and by the panelists. The importance of these reports cannot be overemphasized. Publications panels depend upon the reviews solicited by the presses for an appraisal of the work's significance and uniqueness. Letters of endorsement may be included to supplement reviews but should not take the place of a full critical evaluation of the manuscript. If the author has published previously, reviews of earlier works may also be submitted but should not supplant an evaluation of the specific manuscript for which a subvention is sought. In the case of a series, where the same kinds of materials are being edited or organized by the same personnel, readers' reports of earlier volumes may be submitted in lieu of new reports, after consultation with the program's staff. In evaluating proposals for research tools and editions, the panel often finds it helpful if one of the readers' reports discusses the methodology used to prepare the volume. If the project is a translation, the quality of the translation and annotation should be addressed in the readers' reports.

In order to guarantee the disinterested character of readers' reports, the Endowment's panels expect university presses to solicit no more than one report from the faculty of the parent university and not to solicit reports from the author's home institution. In the case of revised dissertations, reports from the dissertation advisor or the author's graduate department, for similar reasons, should be included only to supplement the two required reports.

For a cross-disciplinary project it will be helpful to have reports of the complete manuscript from scholars in the major areas involved. If readers' reports are written in a foreign language, a translation should be included with a copy of the original report. When major revisions have been recommended by readers, the panel often will wish to see an additional report that reflects the final, revised version of the manuscript. In the case of multivolume works, where several volumes have already been published and all volumes share a common format, editing technique, or series identification, published reviews of previous volumes are expected.

D. Budget

1. Applicants must submit a complete budget, in the form attached, supplemented by detailed estimates of specific plant and manufacturing costs on house forms, together with breakdowns of sales income and discounts applied to projected markets. Sales income estimates should be based on all anticipated sales projected for the initial print run. If this figure is based on less than the full run, the application should explain why. When simultaneous cloth and paperback editions are planned, the "Sales Pattern" should show anticipated sales for the two editions separately. If the number of "Free and Review" copies exceeds ten percent of the run, please explain why. If the project is one for which co-publication with a foreign press has been arranged or might be expected, this should be noted. Sources and amounts of any outside funding should also be noted.

2. The Endowment's evaluators expect to recommend an award no greater than the difference between costs and anticipated income. Budgeted items should reflect the publisher's experience in regard to the projected gross margin percentage and to the non-manufacturing costs as a percentage of net sales. The basis on which non-manufacturing costs are estimated should be included, with sufficient information provided so that evaluators may ascertain what specific components determine overhead figures. Where the print run is inordinately small, less than industry averages or in-house norms would seem called for. Any unusual costs subsumed under the figure for "Administration" should be identified. (If there is a pre-negotiated indirect cost rate, that should be broken out.) Variances from recognized averages or norms for the size of publisher should always be explained. Experience suggests that panels do not look with favor on nonmanufacturing costs that are in excess of 85 percent of the total net sales. Normally, the percentage is lower. Editing and composition costs absorbed by textual editors who prepare camera-ready copy and do their own proofreading should substantially lower the corresponding budget items (i.e., in-house editing and composition costs). Cost projections may include modest inflation factors, but these should always be identified.

3. In the case of volumes in a series, the Endowment expects a complete financial history of the series to date, including annual sales figures in units and dollars (noting price increases as they occur), subsidiary rights income received and anticipated, and sources and amounts of outside funding already received.

E. Marketing Plan

This plan should make clear what the market is expected to be and how the project is to be promoted and sold. Please supply specific details in one page or less about any space advertising, direct mail, promotion, exhibits to be attended, inclusion of the work in catalogues or announcements, sales calls on college professors or on college or general bookstores, or other types of promotion. If this is a work in a series, is there a standing-order policy for it? If so, how many standing orders are there? Copies of the applicant's current catalogue or list in the field should also be supplied.

F. The Manuscript

A single copy of the final version of the manuscript should accompany the application. If the work is a translation, a representative portion of the original text would be useful, with the corresponding translated passage.

In the case of a multivolume work edited by a well-known scholar, several volumes of which have already been published and reviewed, it will be sufficient to send any prefaces, introductions, or headnotes in place of the manuscript proper. For dictionaries, bibliographies, and other seriatim reference works, a sample of 50 manuscript pages that is characteristic of the work as a whole will be adequate. The panel will expect, however, that a representative volume previously published in the series be available for its scrutiny.

Other Information

It should be noted that while manuscripts based upon research funded by any of the divisions or programs of the Endowment, directly or indirectly, or through its State Programs, are eligible, such previous support does not in itself constitute sufficient grounds for a grant for title subsidy.

Standard Form 424 should be filled out by applicants whose sponsoring institutions are elements of state and local governments. State university presses should determine whether this form is required of them. If the form is unavailable, please contact the appropriate office of state government, or the Grants Office of the Endowment (MS-200).

A complete application consists of six parts. Please arrange them in the following order:

1. Application Cover Sheet
2. Budget
3. House Forms (breakdown of manufacturing costs)
4. Marketing Plan
5. Narrative Description (in the sequence outlined in Section B)
6. Readers' Reports

A complete application package should contain:

- Ten copies of the full application
- Original copy, Standard Form 424, if required
- A completed card from inside the back cover of this booklet
- One copy of the manuscript

Note: Please collate and secure all copies of the application. The number of copies listed are necessary so that the program's staff will be able to send them to panelists for their evaluation of the application (while still preserving a sufficient number for official files).

Mailing Instructions

Applications should be mailed to:

Publications Program
Division of Research Programs
National Endowment for the Humanities
Mail Stop 350
Washington, D.C. 20506

Application Deadline

A proposal must be postmarked no later than the appropriate deadline date for the program; a schedule of deadlines is provided at the beginning of this booklet. Should major changes affecting the materials presented in the proposal occur after the deadline, the applicant should arrange with the program's staff to have this information submitted (in sufficient copies) in time for the panel to incorporate it into its deliberation. Within three to five weeks of receipt, the Endowment will notify the applicant and the authorizing official 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.

RESEARCH DIVISION STAFF

Office of the Director

Harold C. Cannon, Director	724-0226
Marsha Turner, Secretary	724-0226
Marjorie A. Berlinçourt, Deputy Director	724-0226
Susan Parsons, Program Assistant	724-0226

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Anita Greer	724-0226
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General Research

John A. Williams, Assistant Director	724-0276
Larinda Somers, Secretary	724-0276
Katherine Abramovitz, Program Officer	724-0276
David Wise, Program Officer	724-0276
Eric Juengst, Program Specialist	724-0276
Anne Woodard, Program Specialist	724-0276

Research Materials

_____, Assistant Director	724-1672
Vickie Tierney, Secretary	724-1672
Helen Aguera, Program Officer	724-1672
Margot Backas, Program Officer (Publications)	724-1672
Jim Levine, Program Officer	724-1672
Susan Mango, Program Officer	724-1672
Peter Patrikis, Program Officer	724-1672
Kathy Fuller, Program Specialist	724-1672
Sally Gaskill, Program Specialist	724-1672
Betty Carter, Program Assistant	724-0341

Research Resources

Jeffrey Field, Assistant Director	724-0341
Helen Whitlock, Secretary	724-0341
Marcella Grendler, Program Officer	724-0341
Pearce Grove, Program Officer	724-0341
Patricia Shadle, Program Specialist	724-0341

OTHER ENDOWMENT PROGRAMS

The National Endowment for the Humanities has four other major programmatic divisions:

The Division of Education Programs supports efforts in elementary and secondary schools as well as in institutions of higher education to improve instruction in humanities disciplines. Projects undertaken with NEH funds concentrate on the content and methods of these disciplines and seek to give them a central place in school and college curricula. The Endowment also supports dissemination of the results of exemplary programs.

The Division of Fellowships and Seminars makes awards to help support individual humanists in their work as scholars, teachers, and interpreters of the humanities. The Division also supports humanities seminars for members of the non-teaching professions. Work supported by an Endowment fellowship helps to advance, synthesize, or enlarge the grantee's learning and understanding.

The Division of State Programs makes grants to the state humanities committee in each state for support of projects designed by state citizens and keyed to state resources, interests, and concerns. Applicants submit proposals directly to the state committees, according to each committee's guidelines.

The Division of General Programs serves two broad purposes: it supports projects that respond to the Endowment's mandate to increase public understanding and appreciation of the humanities and it also provides a means for the Endowment to undertake new programmatic initiatives that lie outside other guidelines of the agency.

In addition, through the Office of Planning and Policy Assessment, the Endowment supports studies and surveys designed to collect and analyze information about the problems, status, and trends of important sectors of humanistic activity.

For more details on any of the above divisions write to:

Public Affairs Office/Mail Stop 351
National Endowment for the Humanities
Washington, D.C. 20506

NATIONAL ENDOWMENT FOR THE HUMANITIES

Washington, D.C. 20506

APPLICATION COVER SHEET

NOTE: Please read instructions before completing applicable questions.
Please print or type.

PRIVACY ACT

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

This 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. Failure to provide information requested would necessarily mean that the application could not be considered because of the absence of elements necessary for a determination.

PLEASE READ the instructions for each question carefully and answer by printing your reply or checking the appropriate box. Please verify your answers to be certain that they are correct and complete. Examples are provided for clarification and should not be considered limiting.

Block 1 - Individual Applicant/Principal Project Director

Item a - If application is that of an **individual applicant**, give the name and mailing address of the person applying. Else, if application is on behalf of an **Institution/Organization** enter the name and mailing address of the person who will carry out the project or be chiefly responsible for directing it. The name and address of the **Institution/Organization** should be given in BLOCK 15.

Items b through g are self-explanatory. These answers apply to the person whose name will be given in ITEM a.

Block 2 - Type of Application

Check (☒) appropriate block.

— **New** - applications submitted for the first time.

— **Revisions** - applications previously submitted, if such has been rewritten or restructured for reconsideration.

— **Renewal** - submission for continuation of an on-going or previously funded project..

— **Supplement** - extension of a current or on-going project.

NOTE: If application is for a **renewal** or **supplement** enter current/previous grant number.

Block 3 - Program to which application is being made:

Enter exact (complete) title of the NEH Program as shown in the Program Announcement.

Block 4 - Type of Applicant

Check (☒) appropriate block. If "1" is checked, enter the **congressional district** as it applies to the geographic area of the applicant's residence. If "2" is checked, enter the congressional district where the **Institution/Organization** applying is located. **Do not** give the congressional district of the project director.

NOTE: Institution/Organization Applicants 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 (advance study, research, etc.) etc. etc. Identify **Status** as: Public, Private Non-Profit, etc.

E.g. **Type:** Historical Society. **Status:** Private Non-Profit.

Block 5 - Requested Period. Period should include planning stages (if applicable). Ending date should be the last day of the month. Include the total number of months (duration of project).

Block 6 - Audiences (Direct Beneficiaries) - List no more than three (3) audiences who will benefit as a result of project: e.g. Gen Public (adults, youth, etc.), Minorities (Women, Black Americans, etc.), Community (Urban, Rural, etc.).

Block 7 - Requested Amount. Enter amount next to each applicable line. Figures must be rounded to the nearest dollar.

Block 8 - Field of Project. From those fields listed in the NEH Act, or Program Announcement, select the most appropriate field which would apply to the project (History, Literature, Archeology, etc.).

Block 9 - Location Where Project Will Be Conducted. Answer in terms of geographic areas; (e.g. in U.S.A. enter city and state, in foreign countries enter only country)

Block 10 - Public Issues of Project (if applicable). Identify main issue(s) that will be addressed; e.g., Aging, Religions, Death, Population Growth (Changes), Urban Problems (Housing), etc.

Block 11 - Topic (title) of Project. Self Explanatory.

Block 12 - Description of Proposed Project. Provide a brief description of project. Do not exceed space provided.

Block 13 - Items a & b. If questions do not apply, write N/A. Make sure that year(s) are entered.

Block 14 - Authorizing Official. If applicant is an **Institution/Organization**, give name and mailing address of Authorizing Official. (Include zip code). Otherwise leave blank.

Block 15 - Institution/Organization. Important: If applicant is an **Institution/Organization**, complete this entry by giving name of institution/organization applying. For individual applicants, give Institution/Organization **Affiliation**. Make sure type of Institution/Organization is identified, following the examples provided in Block 4.

Certification. The original Application Cover Sheet must be signed and dated.

NEH — APPLICATION COVER SHEET

Form OMB-3136-0032

1. Individual Applicant/Principal Project Director a. Name and Mailing Address <div style="display: flex; justify-content: space-between;"> (last) first initial </div> <hr/> <div style="display: flex; justify-content: space-between;"> (city) (state) (zip) </div> <hr/> <div>title/position</div>		b. Date of Birth <div style="text-align: center;"> / / mo day year </div>	<div>(For NEH use ONLY)</div> Date Received / / Application # Initials
c. Major Field of Study <hr/>			
d. Highest Degree Attained <div style="text-align: center;"> / mo year </div>		2. Type of Application 1. <input type="checkbox"/> New 2. <input type="checkbox"/> Revision *3. <input type="checkbox"/> Renewal *4. <input type="checkbox"/> Supplement *If 3 or 4 (above) enter previous grant # <hr/>	
f. Telephone <div style="display: flex; justify-content: space-between;"> () ext. </div>	g. Citizenship 1. <input type="checkbox"/> USA 2. <input type="checkbox"/> Other Specify:		e. Education <hr/>
3. Program To Which Application Is Being Made <div style="border: 1px solid black; height: 20px; width: 100%;"></div>			4. Type of Applicant 1. <input type="checkbox"/> Individual *2. <input type="checkbox"/> Institution/Organization <div style="display: flex; justify-content: space-between;"> <div>Congressional District</div> <div style="border: 1px solid black; width: 50px; height: 20px; text-align: center;"> / / </div> </div> * If (2) above (inst./org.) enter - Type: Status:
5. Requested Period <div style="display: flex; justify-content: space-between;"> <div> From: mo day yr To: mo day yr </div> <div>Total Months</div> </div>	7. Requested Amount <div style="display: flex; justify-content: space-between;"> <div>Outright</div> <div>\$ _____</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>Gift & Match</div> <div>\$ _____</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>NEH Total</div> <div>\$ _____</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>Cost Sharing & Other Contributions</div> <div>\$ _____</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>Total Project</div> <div>\$ _____</div> </div>		
6. Audiences (Direct Beneficiaries) <div style="display: flex;"> <div style="width: 20%;">a.</div> <div style="width: 20%; border: 1px solid black; height: 20px;"></div> <div style="width: 60%;"></div> </div> <div style="display: flex; margin-top: 10px;"> <div style="width: 20%;">b.</div> <div style="width: 20%; border: 1px solid black; height: 20px;"></div> <div style="width: 60%;"></div> </div> <div style="display: flex; margin-top: 10px;"> <div style="width: 20%;">c.</div> <div style="width: 20%; border: 1px solid black; height: 20px;"></div> <div style="width: 60%;"></div> </div>		8. Field of Project <div style="border: 1px solid black; width: 100%; height: 20px;"></div>	
9. Location Where Project Will Be Completed <div style="border: 1px solid black; width: 100%; height: 20px;"></div>		10. Public Issues Of Project <div style="border: 1px solid black; width: 100%; height: 20px;"></div>	
11. Topic (Title) of Project <div style="border: 1px solid black; height: 20px;"></div>			
12. Description of Proposed Project (Do not exceed space provided) <div style="border: 1px solid black; height: 100px;"></div>			

13a. Have you submitted, or do you plan to submit a similar application to another NEH Program? If yes, provide name(s):(year(s) when applicable) <div style="border: 1px solid black; height: 20px;"></div>	13b. Have you submitted, or do you plan to submit a similar application to another government or private entity? If yes, provide name(s):(year(s) when applicable) <div style="border: 1px solid black; height: 20px;"></div>
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IMPORTANT — READ INSTRUCTIONS CAREFULLY BEFORE COMPLETING BLOCKS 14 & 15

14. Authorizing Official (name & mailing address) <div style="border: 1px solid black; height: 40px;"></div>	15. Institution/Organization (name & mailing address) <div style="border: 1px solid black; height: 40px;"></div>
Certification: I certify the statements herein are true and correct to the best of my knowledge and belief: <div style="display: flex; justify-content: space-between;"> <div> Sig. _____ authorizing official/applicant </div> <div> Date / / mo day yr </div> </div>	Type Ins./Org.:

PUBLICATIONS PROGRAM

BUDGET PAGE

Please append analytic estimates and, where required, financial histories to this page.

Project Profile

Author/Editor: _____

Title: _____

Trim Size: _____

Illustrations (Kind & No.): _____

Binding: _____

Binding Cost per Copy: \$ _____

Number of Printed Pages: _____

Composition Cost per Page: \$ _____

Total Manufacturing Cost per Copy: \$ _____

Print Run: _____ List Price: \$ _____

Free & Review: _____ Disc. Classif.: _____

Expected 5 Year Sales: _____ Ave. Disc.: _____

Sales Pattern: 1st year 2nd 3rd 4th-5th

Copies _____

% of Print Run _____

.

Publishing Budget

Anticipated Income from Sales: _____

\$ _____ % of Sales
100

Manufacturing Costs

Plant Costs

\$ _____

xx

Paper & Printing Costs

\$ _____

xx

Binding Costs

\$ _____

xx

Other (specify)

\$ _____

xx

Total Manufacturing

\$ _____

Royalties (Rate: _____)

\$ _____

Combined mfg. & royalties

(\$ _____)

Gross Margin

\$ _____

Non-Manufacturing Costs

Editorial

\$ _____

Production

\$ _____

Marketing

\$ _____

Advertising & Promotion (unless incl.)

\$ _____

Order Fulfillment incl. shipping

\$ _____

& warehousing

Administration

\$ _____

Total Non-Manufacturing Costs

\$ _____

Anticipated Deficit

\$ _____ xx

Less Royalties

(\$ _____)

Requested Subsidy

\$ _____ xx

APPLICANT:

Please complete both cards on this page, but do not detach them from this sheet. This form must be submitted with the full application package.

PLEASE TYPE OR PRINT CLEARLY.

DO NOT DETACH

NEH USE ONLY RP-	Project Director (last name first)
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Name of Publisher

Title of Project and Name of Author/Editor

Amount Requested	If supported by a previous NEH grant, please give grant number
Grant Period Requested	

FOR NEH USE ONLY

DO NOT DETACH

Project Director (last name first)

NEH USE ONLY

RP-

Name of Publisher

Title of Project and Name of Author/Editor

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