

National Endowment for the Humanities Division of Research Programs

Guidelines and Application Instructions

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Humanities, Science, and Technology

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he purpose of the Endowment's Humanities, Science and Technology Program is to support humanities research designed to deepen our understanding of science and technology and their role in our culture. The Endowment's long-standing commitment to science and technology studies, dating from its enabling legislation (1965), is grounded in the conviction that as the power of science and technology in civilization continues to grow, it becomes increasingly important that the humanities interpret cogently both the practice and impact of science and technology.

Beginning in 1973 the Endowment's interest in science studies was focused through the Program on Science, Technology and Human Values (STHV). That program initially served to monitor and support the review of proposals submitted to various programs throughout the Endowment. STHV's own grant-making was limited to "pilot projects" until 1975 when it began its unique tradition of cooperative grant-making with the National Science Foundation's Ethics and Values in Science and Technology (EVIST) Program.

In 1982 the old STHV Program was renamed the Program on Humanities, Science and Technology (HST), and was made part of the Endowment's Division of Research Programs.

The HST Program makes three kinds of awards:

- **1.** NEH Research Awards in Humanities, Science and Technology
- 2. NEH-NSF Individual Awards
- **3.** NEH-NSF (EVIST) Multidisciplinary Research Awards

NEH Research Awards in Humanities, Science and Technology support scholarship on a broad range of topics of contemporary or historical significance. The NEH-NSF Individual Awards and the NEH-NSF Multidisciplinary Research Awards fund research on ethical and value aspects of contemporary issues that involve science and technology; HST and the EVIST program at the National Science Foundation jointly review and fund proposals for these awards. (Support for other types of projects in humanities studies of science and technology may be available from other Divisions and Programs of the Endowment. Please see page 9 of these Guidelines.)

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

NEH Research Awards in Humanities, Science and Technology

ELIGIBILITY

Research Awards in Humanities, Science and Technology is a general category which invites research proposals from institutions or individuals representing the full range of humanities disciplines and perspectives. Appropriate subjects for inquiry might be, but need not be limited to, the following: the form and content of scientific knowledge; the processes through which scientific knowledge is developed; the design and deployment of technology; the interaction among science, technology and other elements of culture; the value conflicts which may accompany scientific and technological change; and the methods and concepts of humanities study of science and technology itself. The program invites proposals which approach any of these topics from the disciplines of history; philosophy; language, linguistics, and literature; religious studies; theory, history and criticism of the arts; jurisprudence; and those aspects of the social sciences that employ historical or philosophical approaches.

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

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

REVIEW CRITERIA

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

the final decision on each proposal.

The following criteria are applied in the review process:

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

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

EXAMPLES OF HST RESEARCH AWARDS

- 1. A philosopher proposed a study which involved leading scholars from nine science studies disciplines (history, philosophy and sociology of science, technology, and medicine) in a comparative examination of their specialities. The scholars worked regularly together for two years explicating the relationships among the disciplines, and then published their results in a comprehensive review written for scholars in all the areas surveyed.
- **2.** A civil engineer planned a study of Robert Maillart and the aesthetics of engineering that grew into a more general study of art and structural engineering. He focused on the combination in a single structure (*e.g.*, a "significant" bridge) of the tool and the work of art. The tool is replicable, expendable, usually team-designed, and 'the rational consequence of following the laws of nature;' the work of art is unique, irreplacable, individually designed, and a product of emotion and passion. He concluded that the structure constitutes an exciting new art form, distinct from the traditional arts on the one hand and from architecture and machine design on the other.

APPLICATION PROCEDURES

After reviewing these guidelines the prospective applicant should write a short project description and send it to the program. The HST staff will then advise the applicant concerning eligibility of the planned project. Later, in submitting a formal proposal, the applicant should use an application coversheet and instructions for the preparation of the narrative, budget and workplan.

Many applicants find working with NEH staff helpful. The staff can advise applicants how to avoid the most damaging proposal errors, and recommend alternate sources of funding. Often, the staff can provide information about current literature and research related to the project.

For further advice applicants may submit a full draft proposal no later than four weeks prior to the application deadline. The staff is ready to assist throughout the application process, but applicants should begin early to allow ample time for review of draft proposals.

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

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

Budget

The average grant in Humanities, Science and Technology is about \$40,000 annually, but there is no fixed upper limit to the level of funding. Applicants with budgets amounting to \$100,000 or more should contact the program staff before submitting a formal proposal. Such applicants should also explore the NEH matching program through which gifts from non-Federal third parties can release an equal amount of NEH matching funds. Further information on matching grants can be found in the Division of Research Programs general information brochure.

Project expenditures should grow logically out of the research design described in the proposal narrative and should be set out on the standard NEH budget forms provided at the end of this booklet. Institutional applicants should provide a cost-share equal to at least 20 percent of total

project costs.

Computer Guidelines

NOTE: These guidelines apply whether computer time is charged to the Endowment or is cost-shared.

Applicants whose projects require the assistance of a computer or a word-processor are asked to include a statement describing the use to which the equipment will be put. If use is expected to be minimal, applicants should consult with NEH staff to determine the degree to which these instructions are applicable.

If a computer consultant is included in the personnel for the project or has been serving as an advisor in its preliminary stages, it is important that he or she have an opportunity to look over these guidelines so that the most informed response can be provided. If computing service is being provided by the computer center or similar facility at the sponsoring institution, the individual responsible for working with the staff of the project should examine these guidelines so that knowledgeable advice can be obtained in the planning stages of the application. Similarly, if a vendor is being used, an analyst from the firm should be asked to review these guidelines. Finally, where a vendor or a university computer center will provide services for a project, a letter confirming the arrangements between the computer facility and the project, signed by an officer of the organization, should be provided with the completed application.

NOTE: All material developed in accordance with these guidelines should be organized in a separate, clearly identified section of the completed application.

RATIONALE FOR USING THE COMPUTER

Please indicate the amount and type of material to be treated in this project. What in particular about the work being undertaken requires the assistance of a computer? Discuss the design of the

product that will result. Describe the character and source of the data you expect to use and your plans for transcribing and coding the data for computer use. Explain the statistics that computer processing will yield and how these relate to the research questions that frame your investigation.

COMPUTING HARDWARE

Describe the computing facilities to be used as they pertain to the project at hand. What are the input, processing, and output capabilities of the hardware? Discuss any specialized hardware required by the project.

COMPUTING SOFTWARE

Are new or existing programs being used to process data and control output? If a standard program is being employed, briefly describe its use and why it was chosen for this project. What other software was considered and why was it rejected? If new programs are being created, describe their functions, their relation to existing programs, and specify the language in which they will be written and the rationale for its choice. The need to develop new or additional software should be thoroughly justified in the narrative of the computer section of the applica-

If documentation is available for extant software, please provide a brief commentary on the modules of the software. Also, please identify the person who will provide any additional programming and include a curriculum vitae for that person.

INPUT

In view of the various inputting options available (CTR terminal, OCR, punched cards, etc.), what mode will be used for this project and why? What is the volume of data (number of entries)? What is the length in characters for a typical record? Briefly describe the record format for the data elements. What kinds of access to the data, in the form of sorts, searches, or indexes will computer processing provide?

USES AND DISTRIBUTION OF OUTPUT

What form will your output take and how does this fit into your research design? What other potential uses, apart from your project, can be made from the encoded data and outputs? Please provide evidence of other scholars' readiness to make use of your data, if you anticipate such use, and discuss your or your institution's plans to make the data available to other researchers.

COSTS

It is expected that organizations applying for grants in support of computer-assisted projects already own, or will purchase their own, computer equipment. In such cases the project budget may include a usage fee. The usage fee should be based on the useful life of the equipment and on a reasonable assessment of the percentage of the total time available on the equipment that the project will require for its completion.

If you intend to have the NEH grant support the purchase of the equipment, you need to justify this purchase in your proposal. The Endowment considers lease-purchase agreements to be purchases of equipment and, in the event purchase is allowed, will accept costs up to the amount allowed for an outright purchase. Interest included in the costs, however represented, is not allowable. In general, whenever the plan calls

for use of the equipment on the project for a relatively short period or less than full time, the costs should be proposed on a regular rental basis. Details associated with arriving at all costs should be provided in the proposal.

Please provide an average cost-per-line, costper-entry, or costs for other appropriate unit with a rationale for these calculations. (Include both worker-hours and machine costs in your estimate.) If you have the option of using organizationally-owned equipment or of renting or purchasing from an external source, the calculations should show the comparative costs entailed in the choice. An analysis of this kind will help evaluators better assess the use of the computer and its expense for your project.

All equipment purchases and use fees must conform with those Federal cost principles applicable to your organization.

DATA BASE MAINTENANCE

If a data base is established with this project, please provide a rationale and an explanation of how it will be maintained and updated. If you choose not to update an existing data base, please explain why. In the event that a data base is to be supported wholly or in part by users fees, explain the services to be provided and include a tentative rate schedule.

NON-EXCLUSIVE LICENSE

As a condition of an award from the Endowment, grantees are expected to provide on request and for the cost of materials reproduction and postage any software documentation for programs or services provided by a data base to this agency or other federally funded project. It is further urged that an article describing the strategy behind any new programming and the logic for its creation be published as soon as feasible in an appropriate journal for the benefit of the scholarly and computing community.

NEH-NSF Individual Awards

ELIGIBILITY

Scholars who take science and technology as their subject, and each other as colleagues, often find themselves working in areas beyond the scope of their own professional training. In order to support the pursuit of such research, and to encourage the development of the interdisciplinary capabilities it requires, the Endowment co-sponsors this set of awards with the National Science Foundation's Ethics and Values in Science and Technology (EVIST) Program. The awards support projects where an applicant works with a host specialist from another discipline (e.g. a historian working with an engineer) on sustained programs of study, interdisciplinary research, and related activities. The maximum award in this category is \$24,000 per year for two years. HST and EVIST have prepared a fuller description of these awards; published as part of the Program Announcement for EVISΤ, they are available from HST. They are also available from EVIST, NSF, Washington, D.C. 20550.

APPLICATION PROCEDURES

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

EXAMPLES OF NEH/NSF INDIVIDUAL AWARDS

- 1. A literature scholar teaching in a medical school became interested in the role of storytelling in medical education after noticing that physicians regularly used stories and anecdotes to describe to colleagues their application of abstract principles to individual medical cases. The scholar proposed to study metaphor and language use in questions of medical interpretation, working with the counsel of a teaching physician in a medical residency program.
- 2. A physicist interested in probabilistic risk analyses of technological hazards and the ethical implications of their use proposed to work with a philosopher on a three-part study involving 1) a course of directed study in ethics and epistemology; 2) a collaborative research project relating ethical issues to the epistemological choices underlying probabilistic forecasting; 3) work using this collaborative study to evaluate specific hazard management schemes.

NEH Co-Funding for NSF Multidisciplinary Research Grants

APPLICATION PROCEDURES

In addition to the Endowment's co-sponsorship of the HST/EVIST Individual Awards, HST has had a long-standing cooperative arrangement with EVIST which allows the program to contribute support regularly to EVIST's major research awards. These awards support interdisciplinary research and related activities designed to address contemporary ethical issues in science and technology and to clarify the value assumptions influencing scientific and technological work. In considering EVIST proposals for co-funding, HST puts priority on projects undertaking substantive research which promises to further scholarship in the humanities.

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

EXAMPLES OF EVIST MULTIDISCIPLINARY PROJECTS CHOSEN FOR CO-FUNDING BY HST

- 1. A team of researchers composed of a philosopher of medicine, a moral philosopher, a physician, and a legal scholar are examining the relation of the concepts of causation and responsibility in innovative medical therapy. Six case studies in which new "science-based" treatments were subsequently associated with specific consequences are being used to develop and test finer conceptions of causation and responsibility and their connection in the face of uncertain knowledge.
- 2. An engineer and historian of technology is collaborating with a cultural anthropologist whose work has focused on social dynamics in science. They are studying value assumptions in engineering design. The project involves participant observation in an engineering design laboratory, to identify the different sorts of social, aesthetic, and cognitive values incorporated into the design process.

OTHER SOURCES OF SUPPORT

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

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

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

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

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

The Division of State Programs makes annual grants to humanities committees in the 50 states, Puerto Rico, and the District of Columbia. The committees, in turn, regrant these funds to provide humanities programs at the local level, usually for the general public. Groups and individuals interested in receiving funds under this program should apply to state committees.

The Division of General Programs supports projects that increase public understanding and appreciation of the humanities through television and radio programs, museums, historical organizations, libraries and other cultural institutions, civic organizations, and youth organizations. The Division also supports occasional projects that are so unusual as not to be eligible for funding within other areas of the Endowment.

Application Instructions

INTRODUCTION

All applicants are urged to discuss projects with program staff before completing an application.

APPLICATION PARTS

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

- A. NEH Application Cover Sheet;
- B. Summary Sheet;
- C. Budget;
- D. Complete project description;
- E. Curriculum vitae (or other appropriate biographical summary);
- F. Listing of three reviewers chosen by the applicant

Directions for the completion of each of these parts can be found in these instructions. Forms to be used for items A, B and C above are enclosed. In addition, the applicant is required to fill out (as instructed) all other forms contained in these instructions.

Certain supporting materials may be required as an appendix to an application. Consult program guidelines for further information.

PREPARATION OF AN APPLICATION

Cover Sheet

The instructions for filling in the NEH Application Cover Sheet are contained on the left side of the form. The following instructions for the Division of Research Programs are intended to supplement the general requirements. **Block 2:** If you are applying through an institution do not check "individual" box. Only applicants applying as unaffiliated individuals should check the "individual" box.

Block 6: For an explanation of these funding distinctions see Instructions for Completing Budget Form page 12.

Block 9: Please note that a more extensive project description is required on the Summary page.

Block 10: If you have submitted the project for funding to another source but have not yet learned the result, give details. If the funding has been approved, note amount and source.

Summary Page

Information given at the top of this page should be consistent with that provided on the NEH Cover Sheet.

- The signature of the Project Director must appear in the space provided. If applying as an unaffiliated individual, the applicant alone must sign here.
- In the project summary, give a succinct statement of the purpose, significance, plan, and expected results of the project. Also indicate the principal use of the funds requested. The summary *must* be limited to the space provided, but should be a carefully prepared precis of the project. In the review process, outside reviewers and panelists receive the complete application to evaluate. The summary of the project, however, is the principal document seen by the National Council on the Humanities during its quarterly meetings.

Budget Information

Affiliated applicants should consult with their appropriate administrative offices in the preparation of the budget.

Directions for the preparation of the budget, as well as NEH's budget forms, are enclosed later in these instructions. In addition, **please note the following general information.**

Salaries

The Endowment can supplement sabbatical or academic leave pay to provide a combined sum equal to the usual academic year salary.

Unaffiliated individuals may request a salary figure computed at the monthly rate they last commanded or would command if employed otherwise than on the research project.

Purchase of equipment

Applicants may not request Endowment funds for the purchase of permanent equipment unless the cost of rental can be shown to exceed the cost of purchase.

Travel Costs

Costs for travel should be consistent with those normally allowed by the institution in its regular operations. In those cases where there is no institutional travel policy, *Federal Travel Regulations* may be used for guidance.

MAILING INSTRUCTIONS

Application materials should be mailed to:

Division of Research Programs National Endowment for the Humanities Room 319 Washington, DC 20506

A complete application package should contain (where required by the program):

- the full application in sufficient number (see following paragraph)
- three extra copies of the Summary sheets

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

The number of copies listed are necessary so that the program staff will be able to send them to outside specialist reviewers and panelists for their evaluation of the application. The number of copies of the full application will vary according to the program to which application is being made. At the time of application, send 25 copies of the application.

APPLICATION DEADLINE

The materials must be postmarked no later than the deadline date for the appropriate program; a schedule of deadlines is provided in this booklet. These materials should contain the full body of information the applicant wishes to constitute his or her application. Should major changes affecting project personnel or the budget occur after the deadline, the applicant should arrange with Endowment staff to have this information submitted (in sufficient copies). Within 3 to 5 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.

Instructions For Completing Budget Form

(except for Publications Program)

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

- **I. Type of Budget Submission:** Check the appropriate box; if the applicant or grantee is submitting a revised budget, the identifying application or grant number assigned by the Endowment should be indicated.
- **II. Applicant Organization:** Provide the official title of the organization/group. A person submitting an application as an unaffiliated individual should insert "none" in this space.

III. Date Prepared:

- **IV. Project Title** should be the same as that shown on the application cover sheet.
- **V. Project Director** is the person who will undertake the project or be chiefly responsible for directing it.

VI. The Grant Period encompasses the entire period for which Endowment funding is requested in the current application. The maximum period for which funding may be requested in an application is 36 months. (When the grant period covers only a portion of the time required to complete a project, the applicant will provide in the description of the project specific information on the time and funding needed to realize all the project goals.)

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

VII. Project Costs are those expenses which will be incurred during the grant period to accomplish project objectives.

All project costs must be

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

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

VIII. Project Funding consists of funds which the applicant requests from the Endowment *and* cost sharing which will be provided by the applicant or non-Federal third parties to cover project expenses during the grant period.

- (1) Under Requested from the Endowment, list the amounts of outright (non-matching) funds and/or matching funds which are requested from the Endowment. (Applicants who request Endowment matching funds should refer to the note at the end of this section before completing the budget form.)
- (2) Under Cost Sharing (a) indicate the cash contributions to the project, i.e., the amount of funding which will be provided by the applicant for the project and the sources and amounts of other cash contributions, such as grants and donations, which will be made directly to the applicant by non-Federal third parties, to cover project expenditures and (b) if in-kind (noncash) contributions, such as donated services and materials, will be made to the project by the applicant of non-Federal third parties, list the type, source, and value of each contribution. (Only those items for which the applicant will not have to outlay funds should be listed as in-kind contributions.)

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

Note: The Endowment is authorized to match gifts which are given to a grantee or prospective grantee of NEH for a specific project as well as gifts which are made directly to NEH on behalf of the project. Applicants who plan to fund a portion of the project costs through gifts which NEH will be requested to match should list the matching funds in section VIII (1) of the Project Budget form and the sources and amounts of gifts in section VIII (2) a. In the event that the donors and the amounts of gifts have not been identified at the time the application is submitted

to NEH, the applicant should enter "various donors" and the total amount of anticipated gifts in the space provided under cash contributions.

The Division of Research Programs usually expects in the Basic Research Program that the grantee institution provide a minimum of 20 percent of total project costs as its contribution to the project. Certain archaeological and regional studies projects require a higher cost share, as explained in the program guidelines. For projects in the Reference Works Program, the institution's contribution should amount to at least 20 percent of total project costs. Applications for renewed funding in this program are expected to show 30 percent cost-sharing. The Resources Program requests a level of 40 percent cost sharing in most applications for outright funding.

Total Project Funding is the combined total of funds requested from the Endowment and cost sharing and should equal Total Project Costs.

IX. Under **Estimated Outlay of Endowment Funds,** the applicant should provide the amounts of Endowment funds required to cover project costs in each twelve-month period of the project. It is important that the figures supplied be accurate and that the outlay information cover only the grant period.

- X. Institutional Grant Administrator: The signature and telephone number of the person who will be responsible for the administration of the grant, e.g., the review and approval of the project budget and plan of work, the monitoring of the institution's compliance with the terms and conditions of the award, the negotiation of revised budgets, etc. The signature indicates this official's approval of the budget and the agreement of the institution to cost share project expenses at the level indicated in the budget submission.
- **XI. Budget Itemization:** In this section of the budget form, applicants will provide the budget detail to support the amounts entered in the Summary Budget. Applicants should note the following:
- (a) All project costs which will be incurred during the grant period and will be supported by Endowment funds and cost sharing contributions, whether cash or in-kind, should be listed in the Budget Itemization,
- **(b)** When funding is requested for more than an 18-month period, budget itemizations for each year of the grant period should be prepared on duplicated copies of pages 2 and 3 of the budget form, and the dates for each period indicated at the beginning of the individual budget itemization.
- **(c)** On large complex projects, it may be advisable to develop separate budget information on individual programs, functions, or activities of an overall project, and

- (d) Pages 2 and 3 of the budget form need not be used if they do not provide sufficient space for budget detail. However, the applicant shall provide budgetary information in the same order and with as much supporting detail as is requested on these two pages.
- **Direct Costs** are all costs which can be specifically identified with a project. (If an applicant has a negotiated indirect cost rate or intends to submit an indirect cost proposal to the Endowment, any costs, such as administrative salaries, fringe benefits, general overhead operating costs, which are included in the indirect cost pool should not be listed in the budget as direct costs.)
- 1. Salaries and Wages charged as project costs must be reasonable for the services rendered, and, in the case of grants made to organizations, must conform to the established policies and salary schedules of those organizations. Please note that this requirement applies to employees hired specifically for this project as well as regular employees of the grantee organization.

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

Individuals who have academic appointments which provide for salary reimbursement on less than a 12-month basis may request up to two summer months salary as a charge to the project when such support is absolutely necessary to maintain the integrity of the project.

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

For each entry under salaries and wages, indicate the full-time equivalent in months which a person or category of persons will devote to the

project. The full-time equivalent for faculty personnel who are paid on an academic year basis, should be listed under academic and/or summer months. For all other project personnel, the full-time equivalent should be indicated under calendar months.

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

- **2. Fringe Benefits** for salaried personnel may be charged to the project as direct costs only if these benefits are not included in the organization's indirect cost pool.
- **3.** Under **Consultant Fees** list payments for professional and technical consultants, stipends, and honoraria. Charges for such fees should be fully justified in the application narrative.
- **4. Travel Costs** are the expenses for transportation, lodging, subsistence, and related items. These costs must be estimated in accordance with the applicant's established travel practice or written policy, providing that the travel results in a reasonable charge and that less-than-first-class air accommodations are used when they are reasonably available. *Foreign air travel must be performed on U.S. flag carriers to the extent available.*

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

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

- **5. Supplies and Materials** include consumable supplies, raw materials for the fabrication of project items, and items of expendable equipment, i.e., equipment items costing less than \$500 or with an estimated useful life of less than two years.
- **6. Services** include the cost of contractual services related to project objectives and not otherwise classified under direct costs.
- 7. Other includes rental of space and/or equipment, transportation of items other than personnel, communication costs which are not included in the indirect cost pool of an organization, etc. Only when an applicant can demonstrate that purchase of permanent equipment, i.e., equipment items costing \$500 or more which have an estimated useful life of more than two years, will be less expensive than rental, may charges be made to project funds for purchasing permanent equipment.

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

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

tration, and accounting.

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

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

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

to:

Audit Office National Endowment for the Humanities Room 317A 1100 Pennsylvania Avenue, N.W. Washington, DC 20506

Code of Ethics

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

Equal Opportunity

The Code of Federal Regulations, Title 45, Part 1110, implements provisions of Title VI of the Civil Rights Act of 1964, and, along with Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, provides that: The National Endowment for the Humanities is responsible for ensuring compliance with and enforcement of public laws prohibiting discrimination because of race, color, national origin, sex, handicap and age in programs and activities receiving Federal assistance from the National Endowment for the Humanities.

Any person who believes he or she has been discriminated against in any program, activity or facility receiving Federal assistance from the Endowment should write immediately to: Director, Office of Equal Opportunity, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.

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 admin-

istration of the grant review process; statistical summaries; and Congressional oversight and analysis of trends.

NEW KEYWORD CODE

The Endowment has begun to print on its publications code numbers identifying the academic disciplines and program types which are the subject of the publication. The experimental code system was developed in a project funded by NEH and the National Science Foundation and is being implemented by these agencies and the National Institute of Education. The object of the experiment is to enable personnel at these institutions to identify quickly the content of written materials.

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0301000	0302000				
0308000 0309003	0309000	0309004	0305000	0311000	0312000
0309006 0309007 0309008 0319000	0316002	0316007	0317000		
0319002	0401001				
0402000 0402000 0409001 0409004	0101001				
0410000 0412000					
0417000 0503015					

Program Types 04, 30, 32, 34, 36, 42, 46, 48

National Endowment for the Humanities

Washington, D.C.

CC1		1			
I he	next	three	pages	incl	ude:

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

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

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

- (1) The information is necessary for efficient consideration of the application during the review process and in the administration of the grant if an award is made.
- (2) The information is *required of the Endowment* in various reports to Congress, other federal agencies, and the public. The Endowment must provide reports which involve statistical information or descriptions that can be obtained quickly from the cover sheet. Information is recorded in a computer which stores the data for subsequent compilation and reporting.

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

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

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

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

Block 1-Individual Applicant or Project Director

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

Item b. Indicate number corresponding to preferred

form of address:

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

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

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

Block 2—Type of Applicant

Check either a or b.

For those who checked a ONLY: Please indicate an

institutional affiliation, if applicable, on line 11a.

For those who checked b ONLY: Identify *Type* such as: Business, Religious, Museum, Historical Society, Government

(state, local, etc.), Public Media (TV, radio, newspaper, etc.), Educational (elementary/secondary, school district, 2 vr. college, 4 vr. college, etc.), Library (public, research, etc.). Center (advanced study, research, etc.).

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

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

Block 3—Type of Application

Check appropriate type:

- a. New—application for this project submitted to NEH for the first time.
- b. Revision and Resubmission—a version of the application for this project submitted to NEH previously but not funded.
- c. Renewal—application for funding a new grant period for a project previously funded by the NEH.
- d. Supplement—application for additional funding to a current NEH grant.

Block 4—Program to Which Application is Being Made

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

Block 5—Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not

begin on the first day, but all project activities must take place within the requested grant period.

Block 6—Project Funding

Enter here the appropriate figures from the Project Budget that is part of your application.

Block 7-Field of Project

Indicate the category and code from the listing on the reverse side of the cover sheet to indicate the *specific* humanities field that best describes the content of the project.

Block 8—Descriptive Title of Project

Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a nonspecialist. The NEH is obliged to be as clear as possible to the public about awards that it makes. The "Descriptive Title" will be used for this purpose whenever possible, but the Endowment staff may assign a different working title to the project for purposes of greater clarity.

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

Block 9—Description of Project

Provide a brief description of the proposed project. Do not exceed the space provided.

Block 10—Will This Proposal Be Submitted to Another Government Agency or Private Entity for Funding?

This information is sought without prejudice to the application. The Endowment frequently co-sponsors projects with other funding sources. If not applicable, indicate "N/A."

Block 11—Institutional Data

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

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

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

NEH Application Cover Sheet

Individual Applicant or ProName and Mailing Address	oject Director	a. If	a., indicate an institutional affilia	nrough an Org/Inst. ation, if applicable, on line 11a.
(Last)	(First)	(Initial) c.	b., complete block 11 below and Type Status	indicate here:
			Type of Application ☐ New ☐ Revision and Resubmission either c. or d., indicate previous	c.
(City)	(State)	(Zip)		grant number.
. Form of Address		4 H	. Program to Which Applicati Iumanities, Science, and Techr	on is Being Made: nology
. Telephone			Provented Count Paried	
Office	Ext	\ \	Requested Grant Period	To (Mo./Yr.)
Home		⊢		10 (MOJ11.)
			. Project Funding . Outright Funds	\$
Major Field of Applicant or Project Director		1	. Federal Match	\$
			. Total From Endowment	\$
Citizenship U.S.			. Cost Sharing	S
Other	(Specify		. Total Project Costs	\$
	(openy		. Total Project Costs	
Description of Project (do	not exceed space provide	ded)		
0. Will This Proposal Be S	ubmitted to Another Go		e Entity for Funding?	
Will This Proposal Be S Yes, indicate where and wl Institutional Data	ubmitted to Another Go hen:		e Entity for Funding?	
Will This Proposal Be S Yes, indicate where and wl Institutional Data	ubmitted to Another Go hen:		e Entity for Funding? (City)	(State)
Will This Proposal Be S Yes, indicate where and where and where and the state of the st	ubmitted to Another Go hen:	overnment Agency or Private		(State)
O. Will This Proposal Be S f Yes, indicate where and where and where and where and where and where and where the second of the	ubmitted to Another Gα hen: :	(Name)	(City)	(Initial)
10. Will This Proposal Be S If Yes, indicate where and what It. Institutional Data a. Institution or Organization b. Authorizing Official: Nam Title:	ubmitted to Another Go hen:	(Name) (Last) Signature:	(City)	
10. Will This Proposal Be S If Yes, indicate where and what 11. Institutional Data a. Institution or Organization b. Authorizing Official: Nam	ubmitted to Another Go hen:	(Name) (Last) Signature:	(City)	(Initial)
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	ubmitted to Another Goten: e istrator—Name and Mai	(Name) (Last) Signature: (Initial)	(City) (First) Form of Address Telephone:	(Initial) (Date) r NEH Use Only) e Received
10. Will This Proposal Be S If Yes, indicate where and will 11. Institutional Data a. Institution or Organization b. Authorizing Official: Nam Title:	ubmitted to Another Goten: e istrator—Name and Mai	(Name) (Last) Signature: (Initial)	(City) (First) Form of Address Telephone:	r NEH Use Only) e Received plication #

The following categories and codes should be used to complete blocks 1d and 7 of the NEH Application Cover Sheet. If the specific field of your project is not included in this listing, select the appropriate major field. (This listing is strictly for use by NEH staff to help

South Asian AB

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

Sociology S1

Anthropology L1	Humanities U8	Literature D1
Archaeology U6	Interdisciplinary U1	African DK American DE
Archival Management/Conservation I1	African Studies GI American Studies G3	— Ancient DC Asian DA British DD
Arts, History and Criticism MA	Area Studies GH	Classical D2
Architecture: History & Criticism U3 Art: History and Criticism M1 Dance: History & Criticism M3 Film: History & Criticism M4 Music: History & Criticism M5 Theater: History & Criticism M2 Communications P2	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	Comparative D9 French D3 German D4 Latin American D6 Literary Criticism DI Near Eastern DB Slavic D7 Spanish D8
Composition & Rhetoric P1	Regional Studies GF	Museum Studies/Historic Preservation 12
Journalism P4 Media P3	Renaissance Studies G9 Rural Studies GC Urban Studies G2	Philosophy B1
Education H1	Western Civilization GB Women's Studies G1	Aesthetics B2 Epistemology B3 Ethics B4
Ethnic Studies K1	Languages C1	History of Philosophy B5
Asian American K5 Black/Afro-American K4	Ancient CC Asian CA Classical C2	Logic B6 Metaphysics B7 Non-Western Philosophy B8
Hispanic American K3 Jewish K6	Comparative C9 English CE	Religion E1
Native American K2 History A1	French C3 - German C4 Italian C5	Comparative Religion E5 History of Religion E2 Non-Western Religion E4
African A2	Latin American C6	Philosophy of Religion E3
American A3 Ancient AC	Near Eastern CB Slavic C7	Social Science U2
British A4	Spanish C8	American Government F2
Classical A5 European A6 Far Eastern A7	Law/Jurisprudence Q1	 Economics N1 Geography U7 International Relations F3
Latin American A8 Near Eastern A9	Library Science H3	Political Science F1 Psychology U5
Russian AA South Asian AB	Linguistics J1	Public Administration F4 Sociology S1

RESEARCH DIVISION APPLICATION SUMMARY PAGE

Project Director	Total Request from NEH Log Number
Signature of Project Director	
	Grant Period
Institution	FROM TO
Project Title	
	Project Summary
	For NEH Use Only
	•

PROJECT BUDGET National Endowment for the Humanities	III. Date Prepared Page 1
Washington, D.C. 20506 I. Type of Budget Submission □ application budget	IV. Project Title
budget revision grant or application number	V. Project Director
II. Applicant Organization	VI. Grant Period From To month year month year
VII. Project Costs (include all charges to NEH and cost sha	ring funds)
Summary Budget for Entire Grant Period	
DIRECT COSTS Salaries and wages Fringe benefits Consultant fees domestic \$	Amount \$
foreign \$Supplies and materials Services Other	
Total Direct Costs INDIRECT COSTS	
	TOTAL PROJECT COSTS \$
VIII. Project Funding for Entire Grant Period (1) Requested from Endowment: Outright fun Federal Mat	
 (2) Cost Sharing a. Cash Contributions (list applicant's anticipated cash outlay and the sources and amounts of third-party donations, grants, etc.) 	b. In-Kind Contributions (list each item, source, and value)
\$\$	
	Total Cost Sharing \$
	TOTAL PROJECT FUNDING \$
IX. Estimated Outlay of Endowment Funds During Grant Perlist twelve-month period ending 2nd twelve-month period ending 3rd twelve-month period ending 4th twelve-month period ending 5th twelve-month period ending	<u>year</u> \$
X. Institutional Grant Administrator	
Name and Title (please type or print) $1/1/83$	Signature Date Telephone: ()

Page	2
Page	_

	the instructions on Direct Cost		andalan - 1 - 1
of persons in brackets) Personnel	names of principal project personames of principal project personames.	()	Amount
		Total Salaries and Wages	
2. Fringe Benefits (if more the	rate salary bas	e	Amount \$
	% of \$	Total Fringe Benefits	\$
Consultant Fees name or type of consultant	daily rate of reimbursement	no. of days on project	Amount \$
			\$
		Total Consultant Fees	
4. Travel Costs		Total Consultant Fees	

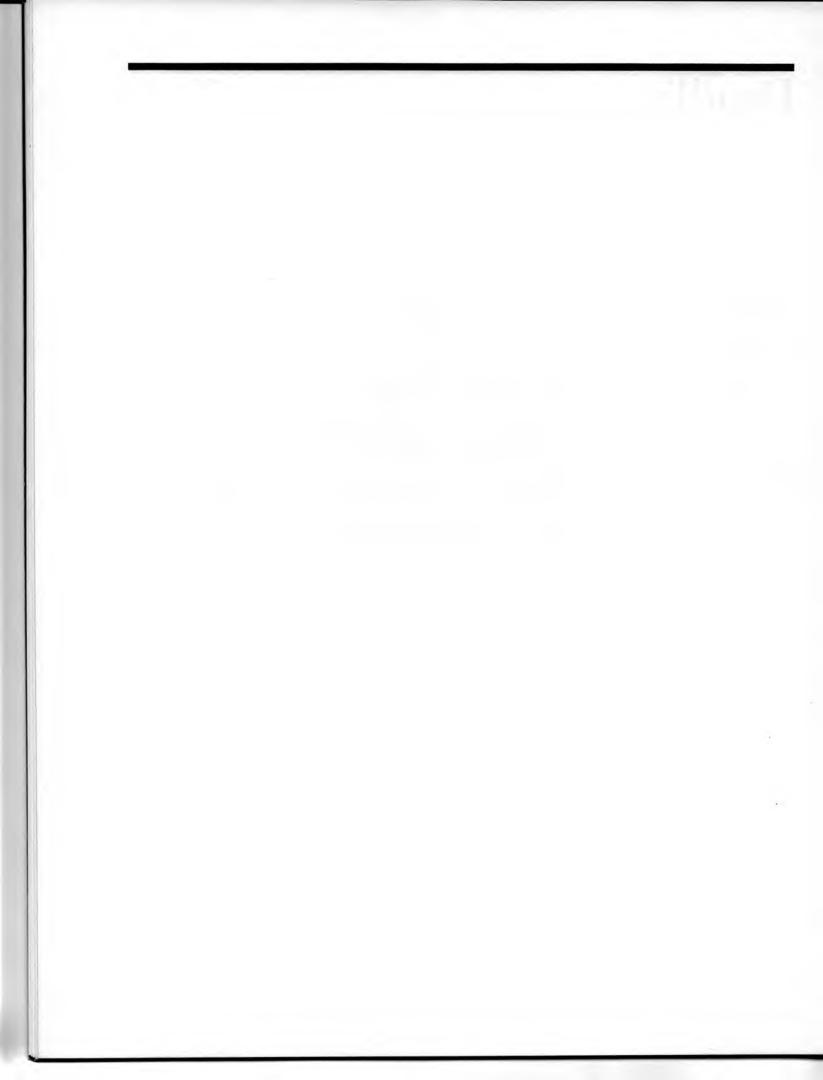
type	basis/method of cost computation	Amount
,		
		\$
	Total Cost of Supplies and Materials	\$
6. Services (list each major type and cos	st computation)	
type	basis/method of cost computation	Amount
		\$
		3
	Total Cost of Services	•
7. Other (list each major type and cost c		\$
		\$Amount
7. Other (list each major type and cost c	computation) basis/method of cost computation	
7. Other (list each major type and cost c	computation) basis/method of cost computation	
7. Other (list each major type and cost c	computation) basis/method of cost computation	
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7. Other (list each major type and cost c	basis/method of cost computation	\$
7. Other (list each major type and cost of type	basis/method of cost computation Total Cost of Other	
7. Other (list each major type and cost of type	basis/method of cost computation	\$
7. Other (list each major type and cost of type	basis/method of cost computation Total Cost of Other	\$
7. Other (list each major type and cost of type type NDIRECT COSTS 1. Rate(s) established by negotiation with	basis/method of cost computation Total Cost of Other Federal agency:	\$\$
7. Other (list each major type and cost of type type NDIRECT COSTS 1. Rate(s) established by negotiation with	basis/method of cost computation Total Cost of Other Federal agency:	\$\$
7. Other (list each major type and cost of type type NDIRECT COSTS 1. Rate(s) established by negotiation with	basis/method of cost computation Total Cost of Other Federal agency:	\$\$
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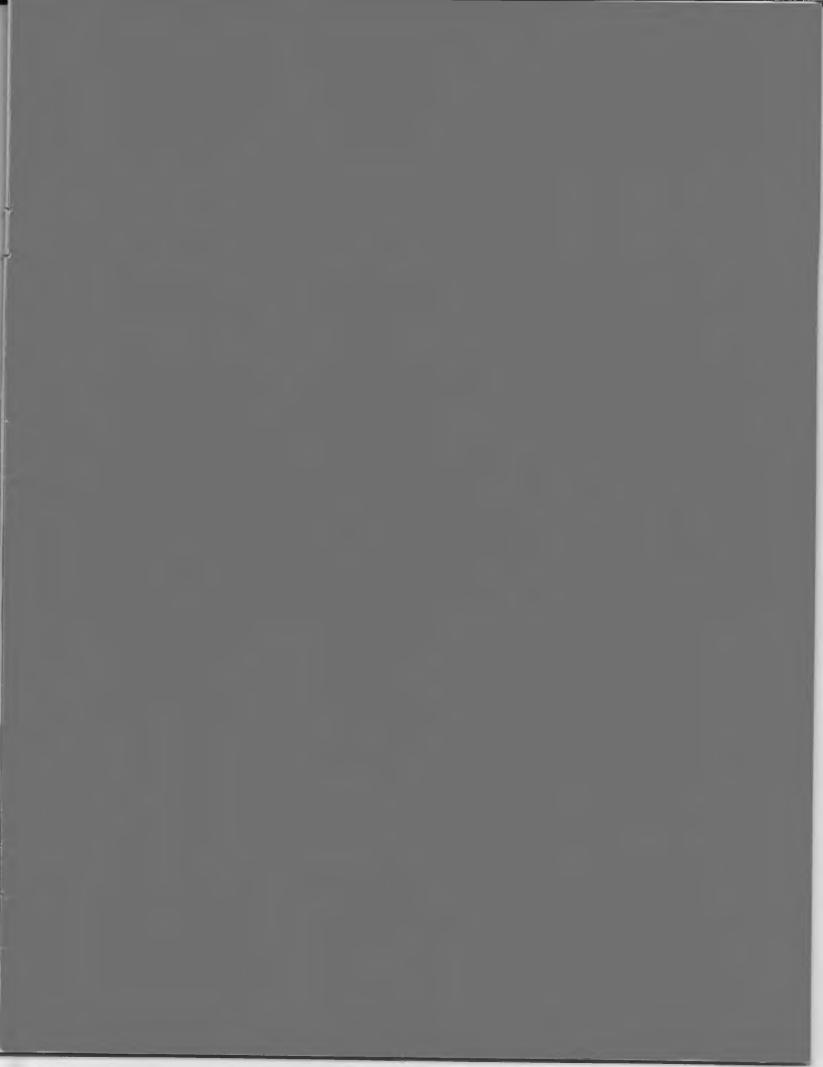
Staff

Director Deputy Director	Harold Cannon Marjorie Berlincourt	(202) 786-0200 (202) 786-0200
Assistant Director for Basic Research	John Alexander Williams	(202) 786-0207
Humanities, Science and Technology Program Officer: Program Specialist:	David E. Wright Eric T. Juengst	(202) 786-0207 (202) 786-0207

Deadlines

Grant Type	Application Receipt Deadline (Annually)	For Projects Beginning:
NEH HST Research Awards	March 1	January 1
NEH/NSF Individual Awards	May 1 (Preliminary proposals) August 1 (Formal proposals)	January 1
	November 1 (Preliminary proposals) February 1 (Formal proposals)	July I
EVIST Multidisciplinary	May 1 (Preliminary proposals) Awards August 1 (Formal proposals)	April 1
	November 1 (Preliminary proposals) February 1 (Formal proposals)	October 1





NATIONAL ENDOWMENT FOR THE HUMANITIES

WASHINGTON, D.C. 20506

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POSTAGE AND FEES PAID NATIONAL ENDOWMENT FOR THE HUMANITIES

NEH-635