



National
Endowment
for the
Humanities

Division
of Research
Programs

Application
Instructions
and Forms

Texts

Editions

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INTRODUCTION

Because these instructions supplement the general guidelines of the Division of Research Programs, all applicants should familiarize themselves with the guidelines brochure before beginning the preparation of an application. The brochure describes the division's review process and the various categories of support and lists the questions reviewers normally ask of proposals submitted in each of the categories. The issues raised by these questions should be addressed in the appropriate sections of the proposal.

I. TYPES OF PROJECTS

Grants in the Editions category support the preparation of scholarly and annotated editions in all fields of the humanities. Support is provided for the editing of written materials, including musical notation, as well as the editing of oral texts. Proposals for editions of foreign language materials in the original language are eligible in this category, but proposals for editions containing translated materials should be submitted to the Translations category.

II. COMPLEMENTARY PROGRAMS

The National Historical Publications and Records Commission (NHPRC), National Archives, Washington, D.C. 20408, provides support for editions of American historical documents. Applicants requesting support from both the Endowment and the NHPRC should indicate the level and type of support requested from the NHPRC.

III. PRELIMINARY PROPOSAL

Applicants are encouraged to submit a draft of the narrative and budget sections of the proposal at least six to eight weeks before the application deadline. An Endowment staff member will review the draft and offer advice regarding the proposal's eligibility, completeness, and competitiveness. The preliminary proposal affords an applicant the opportunity to receive advice about the substance and format of the application. Staff responses to preliminary proposals are not a part of the formal review process.

IV. THE APPLICATION

The application should consist of seven parts: a cover sheet, a table of contents, a narrative description of the project, a budget, appendices (including résumés), a statement of the history of grants received for this project, and a list of qualified reviewers. Forms for the cover sheet, budget, list of reviewers, and history of grants are enclosed.

A. Cover Sheet

Instructions for completing the NEH Application Cover Sheet accompany the enclosed form. In block two of the form, an applicant applying through an institution should not check the "individual" box. Only an applicant applying as an unaffiliated individual should check the "individual" box. A project director affiliated with an institution must apply through that institution if the project will make use of the institution's resources, for

example, the library, computer center, office space, clerical assistance, etc. If the project does not use such resources, the project director may apply as an individual; but in such cases the Endowment must receive a statement from the institution indicating awareness of the project director's submission of an application.

If the space provided in block ten is not adequate, applicants should attach a separate list of all potential funding sources to which similar proposals have been or will be submitted.

B. Table of Contents

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

C. Narrative Description

Applicants should prepare a detailed project description that includes the following sections:

1. Nature and Significance of the Project

This section should be a clear and concise statement of the nature of the edition, its significance to research in the humanities, and its value to the general reader. Applicants should provide a full description of the materials that will be included in the edition and should discuss the relationship of the proposed edition to any previous editions of the same materials. The potential users of the edition should be identified. If appropriate, applicants should indicate the publisher, print runs, sales, and royalties on previously published volumes.

2. History and Duration of the Project

Applicants should provide a concise history of the project, including an outline of the preliminary research or planning that has been conducted for the edition, the kinds and amounts of financial support the project has already received, and the resources or research facilities available to the project. If work on the project will continue after the proposed period of the grant, the applicant should provide details on the work that will remain to be accomplished (including an estimated date of completion of the entire project) and the probable sources of support for that work. Applicants seeking renewed funding should provide, in columnar format, a comparison of the original goals with the actual accomplishments during the period of the current grant. If the edition has produced publications, the proposal should include a list of these with dates of publication.

3. Project Staff

Applicants should identify the project staff, describe their roles, and state their qualifications for undertaking the specific responsibilities assigned to them. Brief résumés for all major participants should be included in an appendix.

The period and amount of time that key project staff members have agreed to devote to the project must be clearly indicated and justified. Project directors must be actually in charge of the project and must devote a significant portion of their time to it. All persons directly involved in the conduct of the grant--whether or not their salaries are paid from grant funds--must be named in the budget, and their anticipated commitments of time must be indicated.

If the project has an advisory board, a list of board members must be provided and the responsibilities of the board must be described. If the staff or advisory board has not yet been identified, the criteria by which members will be selected must be described. (Applicants should be aware that any subsequent changes in the professional personnel of the project, should it be funded, will require Endowment approval.)

4. Project Methodology

Specific information must be provided about how materials for the edition have been or will be collected and about the scope of the search to be undertaken. If this work has not yet been completed, applicants must provide an estimate of what remains to be done. The procedures adopted for control of the edition's documents should be described in detail as well as the criteria informing the selection of materials for inclusion in the edition. Applicants should also indicate the proportion of the total number of existing documents the edition will represent.

Applicants must describe in detail the principles to be followed in the transcription of materials and any special problems that the materials will present. Any practices followed for emendation, regularization, or modernization of the original materials must be noted along with the reasons such procedures were adopted. Applicants must also describe thoroughly the approach taken to establish the text where more than one state or form of the materials exists, the criteria used for annotation, the need for additional kinds of scholarly apparatus, the level of access to be provided by the index or indices, and the procedures to be followed to insure accuracy at various stages of the editorial process. If an editorial manual dealing with these and other issues has already been written, applicants should contact the program staff to determine the feasibility of submitting the manual as part of the application.

Applicants must also provide information on the methods used to prepare the materials for publication. An applicant proposing to produce a facsimile edition should confer with the publisher to determine whether or not the materials are of sufficient quality for clear reproduction. If the project involves the use of a computer or word processor, details must be provided under section 8, "Computer Use."

Applicants submitting proposals for the preparation of microform editions or editions that will combine microform and printed volumes must describe the state of the materials to be filmed and the extent to which restoration (repairs, deacidification, encapsulation, etc.) will be necessary. The content and form of the guide to the filmed materials must also be described.

5. Samples

All applications must contain samples of edited material of sufficient length and complexity to convey a clear idea of the methodology and final form of the proposed edition. The samples chosen should also illustrate the interest and significance of the edition's materials and should be carefully checked for accuracy.

Because the samples will prove most helpful if they illustrate for reviewers the way in which the editorial principles and procedures described in the narrative section of the proposal are applied in practice, photocopies of the original documents should be included. Where appropriate, samples of textual apparatus should also be submitted. Applicants may supply additional information that will make clear any aspects of the editorial process not evident in the sample itself.

6. Work Plan

Applicants must provide a detailed description of the proposed organization and implementation of the project. Applicants must also provide a plan of work by six-month periods, which details the stages and timetable by which the project will be carried out and which provides a description of what will be accomplished during each stage. The plan should also indicate which members of the project staff will be involved. Applicants must state clearly who will assume final editorial control over the project.

7. Final Product and Dissemination

Applicants must demonstrate that the form chosen for the final product (printed volume, microform, or some combination of the two) represents the most effective means of disseminating the material. Applicants submitting proposals for the preparation of microform editions or editions that will combine microform and printed volumes should consult the Microform Guidelines, published by the National Historical Publications and Records Commission. Proposals for microform editions must also include information on the basis for the choice of medium (microfilm or fiche, 35 mm or 16 mm) and the technical standards to be adopted for preparing the edition.

Any applicant who proposes to undertake a large project, whether in print, microform, or some combination, should consult with a publisher at an early stage of planning so that the application will reflect the most efficient and economical method

of preparing and presenting the materials for dissemination. In the proposal itself, applicants must indicate if an agreement to publish has been reached. Any pertinent correspondence with a publisher (such as a letter of interest) must be included in an appendix. If the project involves materials currently under copyright, the application must include, in an appendix, letters giving the applicant permission to use and disseminate these materials.

Information must also be provided on how the product will be publicized and disseminated to the appropriate audience. An estimate of the price of the final product must also be indicated.

8. Computer Use

An applicant whose project includes a computer component should request a copy of the Endowment's "Instructions for Applicants with Projects Requiring the Use of Automation Technology" and must provide in a separate section information on all relevant points outlined in the instructions. Applicants should consult these instructions whether computer expenses are charged to the Endowment or are shared by the applicant. If computer use is expected to be minimal, applicants should discuss with a member of the division staff the degree to which these instructions are applicable.

D. Project Budget

The Endowment provides three types of funding: federal matching funds, outright funds, and a combination of the two. Federal matching funds are awarded on an up to one-for-one basis when an applicant raises, from third parties, gifts that will be used to support project activities during the grant period. The purpose of matching funds is to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts. Because matching funds enable the Endowment to provide support to a wider range of significant but often costly projects, institutional applicants are encouraged to consider requesting complete or partial funding in the form of a matching grant. Applicants who apply for matching funds support should refer to the attachment at the end of this application form for information on eligible gifts and donors.

Outright funds are awarded by the Endowment as a grant and are not contingent on the applicant's receipt of gifts for the support of the project. Combined funds are a combination of outright and matching funds. For example, if a project will cost \$85,000, and \$20,000 in gifts will be raised from eligible third parties, the applicant should request \$20,000 in matching funds from the Endowment. Support for the balance of project expenditures (\$45,000) may be requested in outright funds.

Applicants should note that, under certain circumstances, the Endowment may offer total or partial matching support to applicants who have requested only outright support.

Cost sharing consists of the cash contributions made to the project by the applicant and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. Normally, Endowment support will not exceed 80 percent of the project's total costs; the balance of the project costs are to be shared by nonfederal sources. Cost sharing in renewal applications is usually at least ten percentage points higher than in the original proposal.

E. Appendices

The appendices should be limited to supplementary but essential materials. These materials should include brief résumés from project participants and letters of commitment from key participants and cooperating institutions.

F. Statement of History of Grants

Please complete the enclosed form with this heading.

G. Reviewers

On the enclosed form, applicants are asked to provide the names and addresses of eight disinterested persons who can judge the merits of the proposal. These individuals should either be experts in the particular field or area of the application or on the proposed methodology, or they can be scholars whose reputation and broad knowledge lend weight to their judgments.

Endowment staff will consult this list, along with other sources, in choosing reviewers for the proposal. Applicants are advised, however, that certain classes of potential reviewers are excluded from consideration because of federal rules governing conflict of interest. These exclusions apply to immediate relatives of project staff members, all employees of the applicant institution, and all others who can be deemed to benefit financially from the project if it is funded. The division staff will also avoid soliciting reviews from individuals who are associated with other proposals that are pending in the Editions category.

V. FORMAL SUBMISSION

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

1. Cover Sheet
2. Table of Contents
3. Narrative Description
4. Project Budget
5. Appendices (including résumés)
6. Statement of History of Grants
7. List of Suggested Reviewers

Applicants should submit twenty copies of the application along with three extra copies of the cover sheet. Applicants whose projects involve a significant computer component should submit twenty-five copies of the proposal. The complete application package should be mailed to:

Texts/Editions
Division of Research Programs
National Endowment for the Humanities
Room 318
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

VI. DEADLINE

The complete application package must be postmarked no later than June 1, 1986. Receipt of the application will be acknowledged by post card within four weeks after the application deadline. Applicants who do not receive such an acknowledgment should contact the Endowment as soon as possible. The review of applications requires approximately nine months.

National Endowment for the Humanities

Washington, D.C.

The next three pages include:

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

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

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

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

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

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

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

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

Instructions for Completing the Application Cover Sheet

Block 1—Individual Applicant or Project Director

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

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

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

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

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

Block 2—Type of Applicant

Check either a or b.

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

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

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

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

Block 3—Type of Application

Check appropriate type:

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

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

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

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

Block 4—Program to Which Application is Being Made

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

Block 5—Requested Grant Period

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

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

Block 6—Project Funding

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

Block 7—Field of Project

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

Block 8—Descriptive Title of Project

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

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

Block 9—Description of Project

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

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

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

Block 11—Institutional Data

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

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

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

NEH Application Cover Sheet

OMB No. 3136-0119
Exp. 9/30/88

1. Individual Applicant or Project Director

a. Name and Mailing Address

(Last) (First) (Initial)

(City) (State) (Zip)

b. Form of Address

c. Telephone

Office _____ Ext. _____

Home _____

d. Major Field of Applicant or Project Director

e. Citizenship ☐ U.S.
☐ Other _____ (Specify)

2. Type of Applicant

a. ☐ By an Individual b. ☐ Through an Org./Inst.
If a., indicate an institutional affiliation, if applicable, on line 11a.
If b., complete block 11 below and indicate here:
c. Type
d. Status

3. Type of Application

a. ☐ New c. ☐ Renewal
b. ☐ Revision and Resubmission d. ☐ Supplement
If either c. or d., indicate previous grant number: _____

4. Program to Which Application is Being Made

Texts/Editions

5. Requested Grant Period

From: (Mo./Yr.) _____ To (Mo./Yr.) _____

6. Project Funding

a. Outright Funds \$ _____
b. Federal Match \$ _____
c. Total From Endowment \$ _____
d. Cost Sharing \$ _____
e. Total Project Costs \$ _____

7. Field of Project

8. Descriptive Title of Project

9. Description of Project (do not exceed space provided)

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

If Yes, indicate where and when:

11. Institutional Data

a. Institution or Organization: _____ (Name) (City) (State)

b. Authorized Official: Name _____ (Last) (First) (Initial)

Title: _____ Signature: _____ (Date)

c. Institutional Grant Administrator—Name and Mailing Address:

(Last) (First) (Initial)

Form of Address

Telephone: _____

(City) (State) (Zip)

(For NEH Use Only)

Date Received
Application #
Initials

Field of Project Categories and Codes

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

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

<i>Anthropology</i>	<i>L1</i>
<i>Archaeology</i>	<i>U6</i>
<i>Archival Management/Conservation</i>	<i>I1</i>
<i>Arts, History and Criticism</i>	<i>MA</i>
<i>Architecture: History & Criticism</i>	<i>U3</i>
<i>Art: History and Criticism</i>	<i>M1</i>
<i>Dance: History & Criticism</i>	<i>M3</i>
<i>Film: History & Criticism</i>	<i>M4</i>
<i>Music: History & Criticism</i>	<i>M5</i>
<i>Theater: History & Criticism</i>	<i>M2</i>
<i>Communications</i>	<i>P2</i>
<i>Composition & Rhetoric</i>	<i>P1</i>
<i>Journalism</i>	<i>P4</i>
<i>Media</i>	<i>P3</i>
<i>Education</i>	<i>H1</i>
<i>Ethnic Studies</i>	<i>K1</i>
<i>Asian American</i>	<i>K5</i>
<i>Black/Afro-American</i>	<i>K4</i>
<i>Hispanic American</i>	<i>K3</i>
<i>Jewish</i>	<i>K6</i>
<i>Native American</i>	<i>K2</i>
<i>History</i>	<i>A1</i>
<i>African</i>	<i>A2</i>
<i>American</i>	<i>A3</i>
<i>Ancient</i>	<i>AC</i>
<i>British</i>	<i>A4</i>
<i>Classical</i>	<i>A5</i>
<i>European</i>	<i>A6</i>
<i>Far Eastern</i>	<i>A7</i>
<i>Latin American</i>	<i>A8</i>
<i>Near Eastern</i>	<i>A9</i>
<i>Russian</i>	<i>AA</i>
<i>South Asian</i>	<i>AB</i>

<i>Humanities</i>	<i>U8</i>
<i>Interdisciplinary</i>	<i>U1</i>
<i>African Studies</i>	<i>GI</i>
<i>American Studies</i>	<i>G3</i>
<i>Area Studies</i>	<i>GH</i>
<i>Asian Studies</i>	<i>G5</i>
<i>Classics</i>	<i>G7</i>
<i>Folklore/Folklife</i>	<i>R1</i>
<i>History/Philosophy of Science, Technology or Medicine</i>	<i>GA</i>
<i>International Studies</i>	<i>GG</i>
<i>Labor Studies</i>	<i>G4</i>
<i>Latin American Studies</i>	<i>GJ</i>
<i>Medieval Studies</i>	<i>G8</i>
<i>Regional Studies</i>	<i>GF</i>
<i>Renaissance Studies</i>	<i>G9</i>
<i>Rural Studies</i>	<i>GC</i>
<i>Urban Studies</i>	<i>G2</i>
<i>Western Civilization</i>	<i>GB</i>
<i>Women's Studies</i>	<i>G1</i>
<i>Languages</i>	<i>C1</i>
<i>Ancient</i>	<i>CC</i>
<i>Asian</i>	<i>CA</i>
<i>Classical</i>	<i>C2</i>
<i>Comparative</i>	<i>C9</i>
<i>English</i>	<i>CE</i>
<i>French</i>	<i>C3</i>
<i>German</i>	<i>C4</i>
<i>Italian</i>	<i>C5</i>
<i>Latin American</i>	<i>C6</i>
<i>Near Eastern</i>	<i>CB</i>
<i>Slavic</i>	<i>C7</i>
<i>Spanish</i>	<i>C8</i>
<i>Law/Jurisprudence</i>	<i>Q1</i>
<i>Library Science</i>	<i>H3</i>
<i>Linguistics</i>	<i>J1</i>

<i>Literature</i>	<i>D1</i>
<i>African</i>	<i>DK</i>
<i>American</i>	<i>DE</i>
<i>Ancient</i>	<i>DC</i>
<i>Asian</i>	<i>DA</i>
<i>British</i>	<i>DD</i>
<i>Classical</i>	<i>D2</i>
<i>Comparative</i>	<i>D9</i>
<i>French</i>	<i>D3</i>
<i>German</i>	<i>D4</i>
<i>Latin American</i>	<i>D6</i>
<i>Literary Criticism</i>	<i>DI</i>
<i>Near Eastern</i>	<i>DB</i>
<i>Slavic</i>	<i>D7</i>
<i>Spanish</i>	<i>D8</i>
<i>Museum Studies/Historic Preservation</i>	<i>I2</i>
<i>Philosophy</i>	<i>B1</i>
<i>Aesthetics</i>	<i>B2</i>
<i>Epistemology</i>	<i>B3</i>
<i>Ethics</i>	<i>B4</i>
<i>History of Philosophy</i>	<i>B5</i>
<i>Logic</i>	<i>B6</i>
<i>Metaphysics</i>	<i>B7</i>
<i>Non-Western Philosophy</i>	<i>B8</i>
<i>Religion</i>	<i>E1</i>
<i>Comparative Religion</i>	<i>E5</i>
<i>History of Religion</i>	<i>E2</i>
<i>Non-Western Religion</i>	<i>E4</i>
<i>Philosophy of Religion</i>	<i>E3</i>
<i>Social Science</i>	<i>U2</i>
<i>American Government</i>	<i>F2</i>
<i>Economics</i>	<i>N1</i>
<i>Geography</i>	<i>U7</i>
<i>International Relations</i>	<i>F3</i>
<i>Political Science</i>	<i>F1</i>
<i>Psychology</i>	<i>U5</i>
<i>Public Administration</i>	<i>F4</i>
<i>Sociology</i>	<i>S1</i>

National Endowment for the Humanities BUDGET INSTRUCTIONS

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

Requested Grant Period

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

Project Costs

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

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

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

Fringe Benefits

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

Travel Costs

Less-than-first-class accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined as an item costing more than \$500 with an estimated useful life of more than two years.

Indirect Costs (Overhead)

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

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

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

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

SAMPLE BUDGET COMPUTATIONS

					NEH Funds	Cost Sharing	Total
					(a)	(b)	(c)
Salaries and Wages							
Jane Doe/Project Director	[]	9 months x 100% @ \$27,000/academic yr.			\$13,500	\$13,500	\$27,000
Jane Doe	[]	1 summer month x 100% @ \$3,000			3,000		3,000
John Smith/Research Assistant	[]	6 months x 50% @ \$25,000/yr.			6,250		6,250
Secretarial Support	[1]	3 months x 100% @ \$14,000/yr.			3,500		3,500
Fringe Benefits							
11 % of \$36,250					2,503	1,485	3,988
8 % of \$ 3,500					280		280
Travel							
	no. of persons	total travel days	subsistence costs	transport. costs			
New York City/Chicago	[2]	[4]	\$300	\$430	730		730
Various/Washington D.C. conf.	[5]	[10]	\$750	500	1,250		1,250
Consultant Fees							
Serbo-Croatian Specialist		5	\$100		500		500
Services							
Long Distance Telephone		est. 40 toll calls @ \$3.00			120		120
Conference Brochure		50 copies @ \$3.50/copy			175		175
TOTAL DIRECT COSTS					\$31,808	\$14,985	\$46,793
Indirect Costs							
20% of \$46,793					\$ 6,362	\$ 2,997	\$ 9,359
TOTAL PROJECT COSTS (Direct and Indirect)					\$38,170	\$17,982	\$56,152

OMB No 3136-0071

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

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

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

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

Include payments for professional and technical consultants and honoraria.

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

4. Travel

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

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

5. Supplies and Materials

Include consumable supplies, materials to be used in the project, and items of expendable equipment; i.e., equipment items costing less than \$500 or with an estimated useful life of less than two years.

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

6. Services

Include the cost of duplication and printing, long distance telephone, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or in the indirect cost pool. For subcontracts over \$10,000, provide an itemization of subcontract costs on this form or on an attachment.

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

7. Other Costs

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

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

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

\$ _____ \$ _____ \$ _____

9. Indirect Costs [This budget item applies only to institutional applicants.]

If indirect costs are to be charged to this project, check the appropriate box below and provide the information requested. Refer to the budget instructions for explanations of these options.

- ☐ Current indirect cost rate(s) has/have been negotiated with a federal agency. (Complete items A and B.)
- ☐ Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item A and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item B.)
- ☐ Indirect cost proposal will be sent to NEH if application is funded. (Provide an estimate in item B of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)
- ☐ Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of \$5,000. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or \$5,000, whichever sum is less.)

A. _____
name of federal agency date of agreement

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

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

\$ _____ \$ _____ \$ _____

SECTION B — Summary Budget and Project Funding**SUMMARY BUDGET**

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

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

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

Requested from NEH: ¹		Cost Sharing: ²	
Outright	\$ _____	Cash Contributions	\$ _____
Federal Matching	\$ _____	In-Kind Contributions	\$ _____
		Project Income	\$ _____
TOTAL NEH FUNDING	\$ _____	TOTAL COST SHARING	\$ _____

Total Project Funding (NEH Funds + Cost Sharing)³ = \$ _____

¹Indicate the amount of outright and/or federal matching funds that is requested from the Endowment.

²Indicate the amount of cash contributions that will be made by the applicant or third parties to support project expenses that appear in the budget. Include in this amount third-party cash gifts that will be raised to release federal matching funds. (Consult the program guidelines for information on cost-sharing requirements.)

Occasionally, in-kind (noncash) contributions are included in a project budget as a part of the applicant's cost sharing; e.g., the value of services or equipment that is donated to the project free of charge. If this is the case, the total value of in-kind contributions should be indicated.

When a project will generate income that will be used during the grant period to support expenses listed in the budget, indicate the amount of income that will be expended on budgeted project activities.

³Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator

Complete the information requested below when a revised budget is submitted. Block 11 of the application cover sheet instructions contains a description of the functions of the institutional grant administrator. The signature of this person indicates approval of the budget submission and the agreement of the organization to cost share project expenses at the level indicated under "Project Funding."

Name and Title (please type or print) Telephone (_____) _____
area code

Signature Date _____

NEH Application/Grant Number: _____

LIST OF SUGGESTED REVIEWERS

1) Name: _____
Institution: _____
Address: _____

2) Name: _____
Institution: _____
Address: _____

3) Name: _____
Institution: _____
Address: _____

4) Name: _____
Institution: _____
Address: _____

OVER/

5) Name: _____
Institution: _____
Address: _____

6) Name: _____
Institution: _____
Address: _____

7) Name: _____
Institution: _____
Address: _____

8) Name: _____
Institution: _____
Address: _____

Statement of History of Grants

If the project has received previous support from any federal or nonfederal sources, including the Endowment, please list below the individual sources of these funds as well as the date and total dollar amount of each contribution to the project. If the project has had a long history of support, the sources and contributions may be grouped and summarized so that the list will not exceed one page.

Federal Matching Funds

Federal matching funds are the means by which the Endowment encourages private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts through a one-to-one match. Under the Endowment's current legislation, the chairman of the Endowment is authorized to match gifts made to the Endowment or gifts given directly to an Endowment grantee that will be used to support an approved project.

Only gifts of money, including the net proceeds from the sale of noncash gifts, that will be used to support budgeted project activities during the grant period are eligible to be matched with federal matching funds. The source, date of transfer, and amount of the gift or net proceeds from the sale of a noncash gift must be documented in the applicant's records. An unrestricted gift, i.e., a gift to the applicant that is not given specifically in support of a project, may be certified if the gift will be used to support project activities during the grant period. A gift to an institution or individual associated with a project, which is given specifically in support of project activities, may be certified by the applicant if the gift funds are transferred to the applicant and the applicant controls the disbursement of these funds.

Applicants should note that federally appropriated funds, deferred or noncash gifts, income earned from gifts once they are transferred to the applicant, and income received from any fees for participation in the project activities are not eligible to be matched with federal funds. To avoid any possibility of conflict of interest, a gift should not be used to release federal matching funds when there is the appearance that the donor might benefit in any way by giving a gift to a particular project. Ineligible donors include the applicant who will carry out the project, an institution or individual who is involved in the project activities and who will receive some sort of remuneration from the project funds, and persons living in the same household with and closely related to the project director if the project director receives some form of remuneration from the project funds.

