



National
Endowment
for the
Humanities

Division
of
Research
Programs

Application
• Instructions
and Forms

Texts

Publication
Subvention

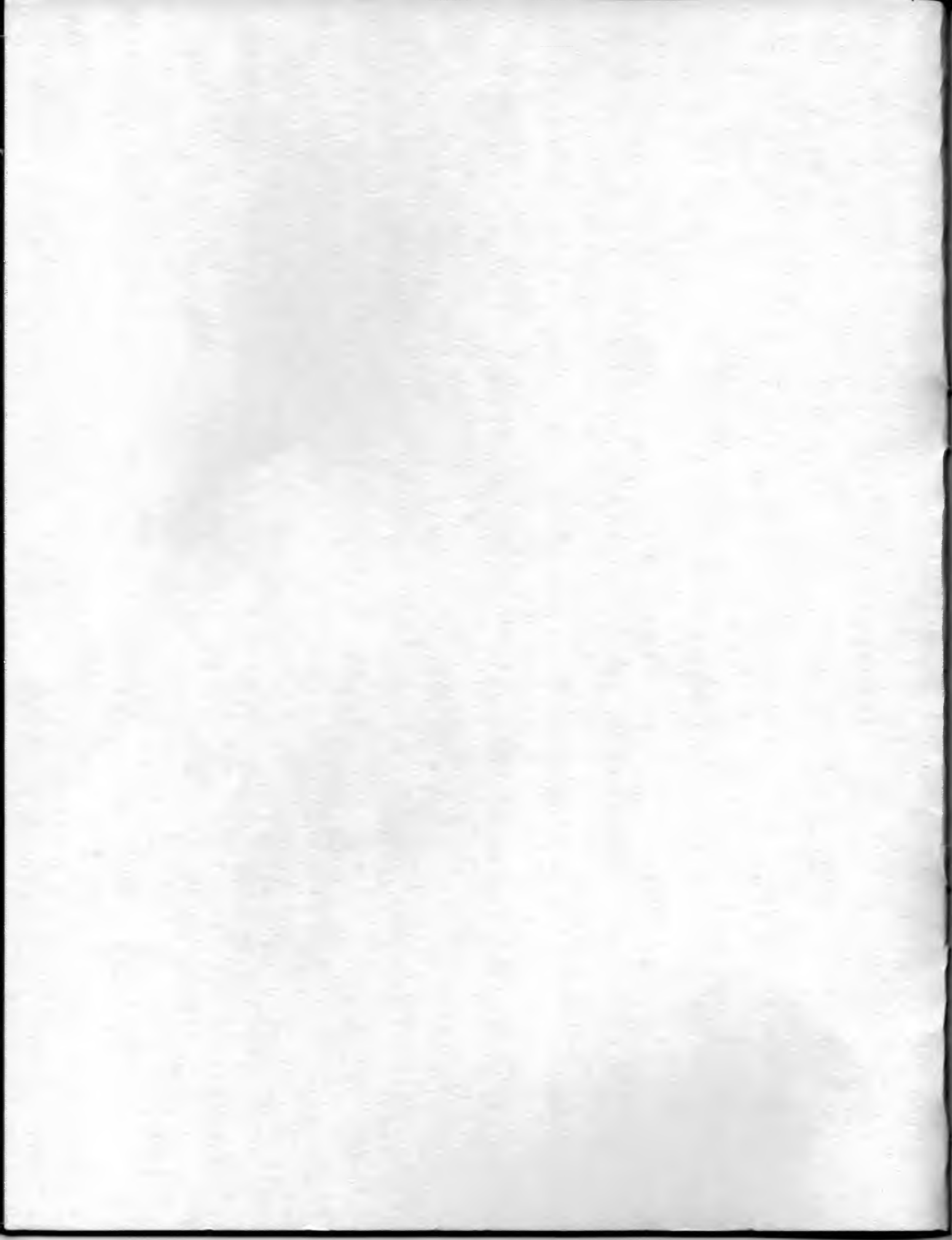


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INSTRUCTIONS

1. The purpose of this form is to provide a systematic method for the evaluation of research reports and the impact of projects.

2. The form is to be filled out by the reviewer, who should be an expert in the field of the project being evaluated.

3. The form is to be filled out in duplicate, one copy to be retained by the reviewer and the other copy to be submitted to the project director.

4. The form is to be filled out in duplicate, one copy to be retained by the reviewer and the other copy to be submitted to the project director.

5. The form is to be filled out in duplicate, one copy to be retained by the reviewer and the other copy to be submitted to the project director.

6. The form is to be filled out in duplicate, one copy to be retained by the reviewer and the other copy to be submitted to the project director.

7. The form is to be filled out in duplicate, one copy to be retained by the reviewer and the other copy to be submitted to the project director.

INTRODUCTION

Because these instructions supplement the general guidelines of the Division of Research Programs, all applicants should read the guidelines brochure carefully 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.

The mission of the National Endowment for the Humanities is to support work that will promote or encourage, in the words of the enabling legislation, "progress and scholarship in the humanities." Because citizens' tax funds are the source of support for all awards the Endowment makes, the Endowment strives to support only projects of compelling importance and quality. It is especially important, therefore, for applicants to demonstrate that a project will be substantial and will make a significant contribution to scholarship in the humanities.

I. TYPES OF PROJECTS

Grants in this category are intended to assist the publication and dissemination of distinguished scholarly works in all fields of the humanities. Applicants must be established publishers or scholarly publishing entities; applications from individuals are not eligible. The scholarly work for which an application is being made must have been formally accepted for publication by the appropriate editor or editorial board, or, if the editorial board meets infrequently, must be in such form that the board can take action at its next scheduled meeting. (If approval to publish is denied, the application must be withdrawn.) No special preference will be given to works that have received previous support from any of the Endowment's programs.

Applications are particularly encouraged for projects that will be of significance to general readers as well as to scholars, and for projects (such as reference works or books with many illustrations, complexities of typesetting, etc.) that because of the high costs of production are likely to result in a substantial loss to the press. Revised dissertations and other narrowly conceived monographs are unlikely to prove competitive unless they are of exceptionally high quality.

Conference proceedings, collections of essays, and festschrift volumes, though eligible, are generally not competitive. Revised editions of works already available to scholars are usually assigned a low priority.

Scholarly journals may submit applications for assistance in publishing special issues but not for continuing subsidy of operating costs. Such special issues should have a thematic unity, demonstrated significance for a particular field of the humanities, publication and sales not confined to the journal's usual schedule and subscribers, and readers' reports of the complete issue for which subvention is sought. Funds are not available for new periodicals or for the expansion of existing journals.

The Endowment questions the necessity of publishing in traditional format works that will be used by a very small number of scholars. Economic and other factors may make it more appropriate to issue certain types of materials in microform or to print from camera-ready copy. Applications for subvention to publish in these and other forms are welcomed. The Endowment encourages applicants to take advantage of computer technology whenever possible.

Applications are also considered for projects designed to diminish the need for individual publication subvention by introducing cost-effective mechanisms, such as computerized typesetting machines, into the operations of a press. Such awards are made only through federal matching funds. Applicants interested in this type of project should call or write a member of the program staff for more detailed information before submitting a proposal.

II. ELIGIBLE APPLICANTS

Nonprofit publishers, such as university presses, the publishing agencies of learned societies, and those of state and local governments, are eligible to apply in this category. Commercial publishers also may apply for subvention of scholarly works in the humanities. Applicants must demonstrate that publication will result in a significant financial loss.

Applications are also accepted from small publishing entities, such as scholarly monograph series, that do not have to pay conventional operating costs because of contributed labor or institutionally subsidized overhead. Such publishing entities should write at least eight weeks before the deadline to verify their eligibility. Self-publishers are not eligible for Endowment subvention.

Foreign presses are eligible if the manuscript to be published is the work of a U.S. citizen or permanent resident and if the proposal meets the criteria established for domestic applications. Foreign publishers are strongly encouraged to submit a draft proposal at least eight weeks before the deadline to allow for any revision that may be necessary. Applications from foreign presses must contain at least two unmasked readers' reports, preferably from scholars in the United States; budgets in U.S. dollars at the current rate of exchange; and adequate plans for marketing within the United States. Marketing plans should include an arrangement with a U.S. distribution agency. Applications must be prepared in English, and readers' reports translated into English. If co-publication with an American press is planned, application should be made through the U.S. publisher.

III. THE APPLICATION

An application consists of seven parts: a cover sheet, a statement of the significance and impact of the manuscript prepared by the author, a narrative description of the project prepared by the press, the author's résumé and the readers' credentials, readers' reports and reviews, a budget, and the manuscript of the work. Forms for the cover sheet, statement of significance, and budget are enclosed. Narrative descriptions should be limited to ten or fewer pages.

A. Cover Sheet

The NEH Application Cover Sheet and instructions for completing it are enclosed.

B. Statement of Significance and Impact of Project

The author of the work to be published should provide this information on the enclosed sheet with this heading. This section should contain a carefully prepared précis of the work and should

present a well-considered statement of its significance. Consideration of significance includes a work's intellectual justification, importance to scholarship in the humanities, breadth of concept, and intended audience.

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 by the publisher of the nature of the work and its value to humanities scholars, students, and general readers. The statement should also explain how the work is related to other important scholarly works published in the field. If the work is an edition or reference work, information about the editorial and selection procedures and principles should be included.

2. Table of Contents

A copy of the work's full table of contents must be included in the application.

3. History of the Project

Applicants should provide a concise history of the submission, review, and acceptance of the work by the publisher, including the date of the contract with the author or the date on which the editorial board will take action on the project. If the work was originally a doctoral dissertation, the application should include information about the extent of revision. If an Endowment grant has supported any aspect of the preparation of the work, the applicant should provide, if possible, the grant number of the award and should describe the relationship between that award and the present manuscript.

If the project involves multiple volumes, the application should contain a brief history of the series, as well as an estimate of how many additional volumes are anticipated and the projected publication dates of these volumes.

Applicants should also indicate the form in which the work was submitted to the publisher (manuscript, camera-ready copy, coded diskette or tape).

4. Final Product and Manufacturing Standards

Applicants should provide a description of the physical form of the project and an explanation of why this form represents the most effective means of disseminating the work. If the work is to be published in conventional book form, the applicant should specify the book's length in printed pages, the trim size, the

number and type of illustrations (including any use of color), the type of paper, the method of composition, the type of binding (case or paper), the method of binding, cover and jacket material, printing and stamping, and any other pertinent details.

Applicants must also provide evidence that they will observe basic standards of durability and permanence in the manufacture of books that receive Endowment subvention. These standards include the use of acid-free paper with a minimum pH of 7.5, acid-free endpapers, and Smyth-sewn bindings. If simultaneous cloth and paper editions are to be issued, only the hardback edition must be sewn. Only projects that meet these standards are eligible for subvention. Further information on manufacturing standards can be found in the reports of the Committee on Production Guidelines for Book Longevity, which can be obtained from the Council on Library Resources, 1785 Massachusetts Avenue, N.W., Washington, D.C. 20036.

The infinity symbol, which indicates to libraries that the volume is printed on acid-free paper, should be imprinted on every volume that receives Endowment subvention.

5. Marketing Plan

The marketing plan should describe briefly the audience for the work and should explain how the publication is to be promoted and sold. In one or two pages, specific details should be supplied on proposed marketing efforts such as space advertising, direct mail, catalogues, exhibits, or other kinds of promotion. The figures given in the budget for marketing, advertising, and promotion should be commensurate with the plan described. If the work is part of a series that has a standing-order policy, the number of standing orders should also be included. In addition, a copy of the applicant's current catalogue or list in the field is often helpful to reviewers.

D. Résumés and Readers' Credentials

Résumés of the authors, editors, or translators of the work should be included. Information should also be provided on the outside reviewers' credentials pertinent to the evaluation of the manuscript in question; full résumés for the readers are not required.

E. Readers' Reports and Reviews

All applications must include at least two unmasked readers' reports that evaluate the volume's scholarly importance and that explain the way in which the work will advance research in the humanities. The copies of the reports included in the application must be photocopied from the original reports. If the report is handwritten and difficult to read, applicants are asked to provide a typed copy in addition to the original. If any of the readers' reports are written in a foreign language, a translation must be included with a copy of the original report. The confidentiality

of the reports will be maintained by the staff and by all those who review the application. The importance of full analytical reviews cannot be overemphasized. If the readers' reports include separate detailed comments on the manuscript, such comments should be included in the application. The review panels depend on the reports solicited by a press for an appraisal of a work's significance and quality.

Letters of endorsement and reviews of earlier works by the same author may be included in the application. Such supplementary material, however, should not take the place of full critical evaluation of the final version of the manuscript for which subvention is being sought.

In the case of a series, where the same kinds of materials are being edited or organized by the same personnel, readers' reports of earlier volumes may be submitted in lieu of new reports, after consultation with the program staff. For such multivolume works, where several volumes have already appeared, published reviews of previous volumes will be expected.

In evaluating proposals for research tools and editions, Endowment reviewers often find it helpful if one of the readers' reports discusses the methodology used to prepare the volume. If the project is a translation, the quality of the translation and annotation as well as the usefulness of the introduction or commentary in placing the work in its intellectual context should be addressed in the reports. For a cross-disciplinary project, it is helpful to have reports of the complete manuscript from scholars in the major areas involved.

When substantive revisions have been recommended by readers, a response from the author that addresses these criticisms and an additional report (preferably from the most critical of the original reviewers) that reflects the final, revised version of the manuscript should be included. If the readers did not date their reports, the press should do so to make clear the sequence of review.

In order to guarantee the disinterested character of the reviews, the Endowment's panels expect university presses to solicit no more than one report from the faculty of the university associated with the press and not to solicit reports from the author's home institution. In the case of revised dissertations, reports from the dissertation adviser, dissertation committee, and the author's graduate department should be included only to supplement the readers' reports.

If the applicant is a publishing entity, such as a monograph series, that customarily relies on reports from its board of editors, the Endowment's panels will expect at least one report from a disinterested scholar not on the editorial board nor previously published in the series. Reports from members of the

editorial board should be full critical appraisals and not merely letters accepting the work in the series.

F. Types of Grant Support

The Endowment provides three types of funding: federal matching funds, outright funds, and a combination of the two.

Matching Funds

The Endowment is authorized to match gifts made to NEH or gifts that are given directly to an applicant and that will be used to support budgeted project activities during the grant period. Applicants are encouraged to identify potential sources of gift funds at the time they make an application to the Endowment.

Endowment matching funds are awarded on an up to one-for-one basis. 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 NEH 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, "Eligible Gifts and Donors."

Outright Funds

An outright grant is one in which the award of Endowment funds is not contingent on the applicant's raising gifts for the project.

Combined Funds

Applicants may also request a combination of outright and matching funds from the Endowment. For example, if a project will cost \$10,000 and \$2,500 in gifts will be raised from eligible third parties, the applicant should request \$2,500 in matching funds from the Endowment. Support for the balance of project expenditures (\$5,000) may be requested in outright funds.

It should be noted that, under certain circumstances, the Endowment may offer total or partial matching support to an applicant requesting only outright support.

Awards in this category average \$6,000 per volume; no award for a single volume will exceed \$10,000 in outright funds. In a federal fiscal year (October through September), a single publisher may not receive more than \$50,000 in outright and federal matching funds or support for more than five works, whichever is less.

Cost Sharing

Although cost sharing is not required in the Publication Subvention category, gift money that will be raised to release any federal matching funds should be listed in Block 6d on the NEH Application Cover Sheet as cost sharing.

Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. While not all costs of publication must be incurred within the requested grant period, project expenses that are charged to grant funds or, if applicable, to gifts that are raised to release federal matching funds must be incurred during the grant period; furthermore, all obligations of these funds must be liquidated within ninety days of the end of the grant period. The requested grant period is normally eighteen months, although the Endowment can consider applications with grant periods of up to three years. A grant period of at least a year is advisable so that applicants can accommodate the full schedule of publication and initial order fulfillment.

G. Project Budget

Applicants must submit a complete budget, on the form attached, supplemented by detailed estimates of specific plant and manufacturing costs on house forms or on a back-up page. Failure to submit the detailed information requested will often result in rejection of the proposal because the panel must have this breakdown of costs in order to judge the soundness of the project budget.

Sales estimates for the first three years after publication should be shown, together with the average discount and the discount classification. (Most books for which a subsidy is required will be sold at short discount. If a trade discount is indicated, the print run will be higher; and the applicant's description of the project and the marketing plan should justify such expectation.) Sales income should be based on all anticipated sales projected for the initial print run. If the figure is based on less than the full run, the applicant should explain why. When simultaneous cloth and paperback editions are planned, the sales pattern should show sales for the two editions separately. If the number of free and review copies exceeds 10 percent of the run, this should also be explained in the application.

If the project is one for which co-publication with a foreign press has been arranged or might be expected, this fact should be noted, as should the sources and amounts of any subsidiary rights income or outside funding. If co-publication with another U.S. press is involved, or if the work is to be produced by one publisher for another, the budget must make clear how the costs and the income are to be shared.

In the case of volumes in a series, information on the series to date must be provided, including dates of publication for previous volumes, print runs, annual sales figures in units and dollars (noting price increases as they occur), subsidiary rights income received or anticipated, and sources and amounts of outside funding already received. If earlier volumes in a series have received Endowment subvention, the nonmanufacturing costs should reflect this fact (in such a case, the figures for editorial, marketing, advertising, and promotion costs normally will be lower).

Because of the introduction of electronically prepared manuscripts, the Endowment will now accept applications for subvention of manuscripts that are already in composition. Volumes that will be printed and bound before a funding decision is reached, however, are not eligible.

When editing and composition costs are absorbed by textual editors who prepare camera-ready copy and do their own proofreading, the corresponding budget items should be substantially lower.

The basis on which nonmanufacturing costs are estimated should be defined, with sufficient information provided so that evaluators can ascertain what specific components determine overhead figures. Evaluators will want to know, for example, what is included in the figure for editorial costs; and any unusual costs subsumed under the figure for administration should be identified. Variances from recognized averages or norms for the size of publisher should always be explained. Experience suggests that evaluators will question budgets in which nonmanufacturing costs are in excess of 85 percent of total net sales. Normally, the percentage is lower. Cost projections should be estimated on the basis of costs at the time the book goes into production.

The Endowment generally offers an award no greater than the difference between costs and anticipated income. Budgeted items should reflect the publisher's experience in regard to the projected gross margin and to the nonmanufacturing costs as a percentage of net sales.

H. The Manuscript

A single copy of the final version of the manuscript must accompany the application. In the case of a multivolume work where several volumes have already been published and reviewed, it will be sufficient to send any new prefaces, introductions, or headnotes in place of the complete manuscript. A representative volume previously published in the series should be submitted for the panel's examination.

For dictionaries, bibliographies, and other seriatim reference works, fifty manuscript pages that are characteristic of the work as a whole will be an adequate sample.

IV. FORMAL SUBMISSION

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

1. Cover Sheet
2. Statement of Significance
3. Narrative Description
4. Author's Résumé and Readers' Credentials
5. Readers' Reports and Reviews
6. Project Budget

Applicants should submit ten copies of the application (including one copy with the original, signed cover sheet) along with one copy of the manuscript or appropriate manuscript materials. The complete application package should be mailed to:

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

V. DEADLINE

The complete application package must be postmarked no later than April 1. 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 call or write the Endowment as soon as possible. The review of applications requires approximately six months.

National Endowment for the Humanities

Washington, D.C.

The following 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 that 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 Humanities Act of 1965, as amended, 20 U.S.C. 956. This information is needed to process the grant application and for statistical research and analysis of trends. The routine uses which may be made of this information are: general administration of the grant review process; statistical summaries; congressional oversight; and analysis of trends. Failure to provide any of the requested information will result in the delay or rejection of the application.

INSTRUCTIONS FOR COMPLETING THE APPLICATION COVER SHEET

Block 1--Individual Applicant or Project Director

Item a. Enter the name and mailing address of the press staff member who will be chiefly responsible for the project.

Item b. In the space provided, enter the number corresponding to the project director's preferred form of address:

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

Item c. Enter the social security number and date of birth of the project director.

Item d. Enter the project director's full telephone number with area code and extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left.

Item e and Item f. Applicants for grants in the Publication Subvention category need not complete these items.

Block 2--Type of Applicant

All applicants for grants in the Publication Subvention category should check b; applications from individual scholars are not eligible.

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, Private Profit, or Unit of State or Local Government. Example: Type: University Press. Status: Private Nonprofit.

Block 3--Type of Application

Check appropriate type:

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

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

Item c. Renewal--this item is not relevant for Publication Subvention applicants.

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

Block 4--Program to which Application Is Being Made

This information is preprinted on your form. Preprinted forms ensure that the applicant has the correct instructions for the specific program.

If application is being made under one of the Endowment's initiatives described in the Division of Research Programs guidelines, please indicate the number corresponding to the initiative in the space provided after Endowment Initiatives:

03C--The Foundations of American Society

03M--Columbian Quincentenary

Block 5--Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. While not all costs of publication must be incurred within the requested grant period, project expenses that are charged to grant funds or, if applicable, to gifts that are raised to release federal matching funds must be incurred during the grant period. The requested grant period is normally eighteen months, although the Endowment can consider applications with grant periods of up to three years. A grant period of at least a year is advisable so that applicants can accommodate the full schedule of publication and initial order fulfillment.

Block 6--Project Funding

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

Although cost sharing is not required in the Publication Subvention category, gift money that will be raised to release any federal matching funds should be listed in Block 6d as cost sharing.

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

Indicate the title and subtitle of the manuscript and the name of the principal author or editor, and, if pertinent, the translator. If the request is for more than one volume, this fact should be noted here.

Block 9--Description of Project

Provide a brief description of the proposed project. Do not exceed the space provided. The description should not only summarize the principal features and argument of the narrative but should also explain briefly the work's expected contribution to research in the humanities.

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

This information is sought without prejudice to the application. NEH frequently cosponsors projects with other funding sources. If not applicable, indicate "N/A."

Block 11--Institutional Data

Before completing Block 11, university presses should determine whether the press or the university is the appropriate institution to designate the authorizing official. When an application is submitted on behalf of a university press that does not operate independently of the university, the names of the university and the authorizing official of that institution should appear on lines 11a and 11b.

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 Block 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--such as, 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.

Block 12--Federal Loan Status

Only one signature is required. If Block 2 box "a" was checked, then the individual named in Block 1 shall certify that he or she is not delinquent in repayment of any federal debt. If Block 2 box "b" was checked, then the authorizing official named in Block 11b shall certify that the institution is not delinquent in repayment of any federal debt.

Federal debt is defined as an amount of money or property that has been determined by an appropriate agency official to be owed to the United States from any person, organization, or entity, and is interpreted to include such debts as guaranteed student loans, FHA loans, SBA loans, Department of Education institutional loans, and all other federally backed loans and debts. Delinquent means any account 30 days past due.

In cases where the applicant (either individual or institution) is delinquent on a federal debt, a statement may be attached explaining the circumstances.

NOTE: Federal law provides criminal penalties of up to \$10,000 or imprisonment of up to five years, or both, for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001.



NEH APPLICATION COVER SHEET

OMB No. 3136-0074
Expires 2/28/91

1. Individual applicant or project director

a. Name and mailing address

Name _____
(last) (first) (initial)

Address _____

(city) (state) (zip code)

b. Form of address: ☐

c. Social Security # _____ Date of birth _____
(mo day yr)

d. Telephone number
Office: _____ / _____ Home: _____
(area code) (area code)

e. Major field of applicant or project director _____
(code)

f. Citizenship ☐ U.S.
☐ Other _____
(specify)

2. Type of applicant

- a. ☐ by an individual b. ☐ through an org./institute
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/Publication Subvention ☐

Endowment Initiatives _____
(code)

5. Requested grant period

From: _____ To: _____
(month year) (month year)

6. Project funding

- a. Outright funds \$ _____
b. Federal match \$ _____
c. Total from NEH \$ _____
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. Name of authorizing official:

(last) (first) (initial)

(title)

(signature) (date)

c. Name and mailing address of the institutional grant administrator

(last) (first) (initial)

(city) (state) (zip code)

Telephone: _____ / _____ Form of address ☐
(area code)

12. Federal debt status

I certify that I am not delinquent on repayment of any federal debt.

Not applicable

(signature, person named in Block 1)

This institution certifies that it is not delinquent on repayment of any federal debt.

(signature, authorizing official named in Block 11b)

Note: Federal law provides criminal penalties of up to \$10,000 or imprisonment of up to five years, or both, for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001

For NEH use only

Date received

Application #

Initials

Field of Project Categories and Codes

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

Anthropology L1

Archaeology U6

Archival Management/Conservation I1

Arts, History and Criticism MA

Architecture: History & Criticism U3

Art: History and Criticism M1

Dance: History & Criticism M3

Film: History & Criticism M4

Music: History & Criticism M5

Theater: History & Criticism M2

Communications P2

Composition & Rhetoric P1

Journalism P4

Media P3

Education H1

Ethnic Studies K1

Asian American K5

Black/Afro-American K4

Hispanic American K3

Jewish K6

Native American K2

History A1

African A2

American A3

Ancient AC

British A4

Classical A5

European A6

Far Eastern A7

Latin American A8

Near Eastern A9

Russian AA

South Asian AB

Humanities U8

Interdisciplinary U1

African Studies GI

American Studies G3

Area Studies GH

Asian Studies G5

Classics G7

Folklore/Folklife R1

History/Philosophy of Science,
Technology or Medicine GA

International Studies GG

Labor Studies G4

Latin American Studies GJ

Medieval Studies G8

Regional Studies GF

Renaissance Studies G9

Rural Studies GC

Urban Studies G2

Western Civilization GB

Women's Studies G1

Languages C1

Ancient CC

Asian CA

Classical C2

Comparative C9

English CE

French C3

German C4

Italian C5

Latin American C6

Near Eastern CB

Slavic C7

Spanish C8

Law/Jurisprudence Q1

Library Science H3

Linguistics J1

Literature D1

African DK

American DE

Ancient DC

Asian DA

British DD

Classical D2

Comparative D9

French D3

German D4

Latin American D6

Literary Criticism DI

Near Eastern DB

Slavic D7

Spanish D8

Museum Studies/Historic Preservation L2

Philosophy B1

Aesthetics B2

Epistemology B3

Ethics B4

History of Philosophy B5

Logic B6

Metaphysics B7

Non-Western Philosophy B8

Religion E1

Comparative Religion E5

History of Religion E2

Non-Western Religion E4

Philosophy of Religion E3

Social Science U2

American Government F2

Economics N1

Geography U7

International Relations F3

Political Science F1

Psychology U5

Public Administration F4

Sociology S1

Publication Subvention Category

Budget Page

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

Project Profile

Author/Editor: _____

Title: _____

Trim Size: _____

Illustrations (Kind and No.): _____

Binding: _____

Binding Cost per Copy: \$ _____

Number of Printed Pages: _____

Composition Cost per Page: \$ _____

Total Manufacturing Cost per Copy: \$ _____

Print Run: _____ List Price: \$ _____

Free and Review: _____

Average Discount: _____

Expected 3 Year Sales: _____

Sales Pattern: 1st year 2nd 3rd

Copies _____

% of Print Run _____

Publishing Budget

Anticipated Income from Sales

\$ _____ % of sales
100

Manufacturing Costs

Composition Costs

\$ _____

Plant Costs

\$ _____

Paper and Printing Costs

\$ _____

Binding Costs

\$ _____

Other (Specify)

\$ _____

Total Manufacturing

\$ _____

Royalties (Rate:)

\$ _____

Combined Manufacturing and Royalties

(\$ _____)

Gross Margin

\$ _____

Nonmanufacturing Costs

Editorial

\$ _____

Production

\$ _____

Marketing

\$ _____

Advertising and Promotion

\$ _____

Order Fulfillment including Shipping
and Warehousing

\$ _____

Administration

\$ _____

Total Nonmanufacturing Costs

\$ _____

Anticipated Deficit

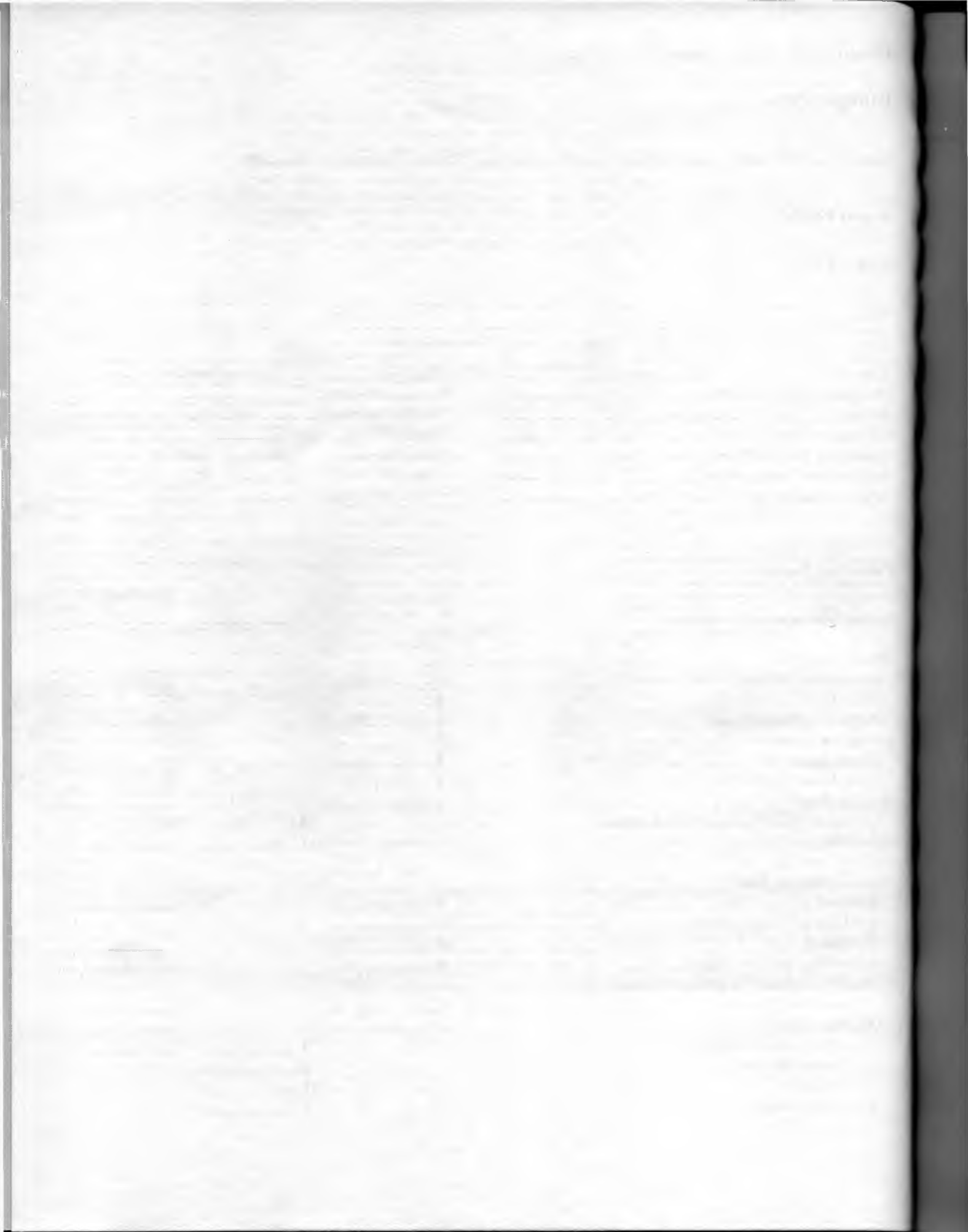
\$ _____

Less Royalties

(\$ _____)

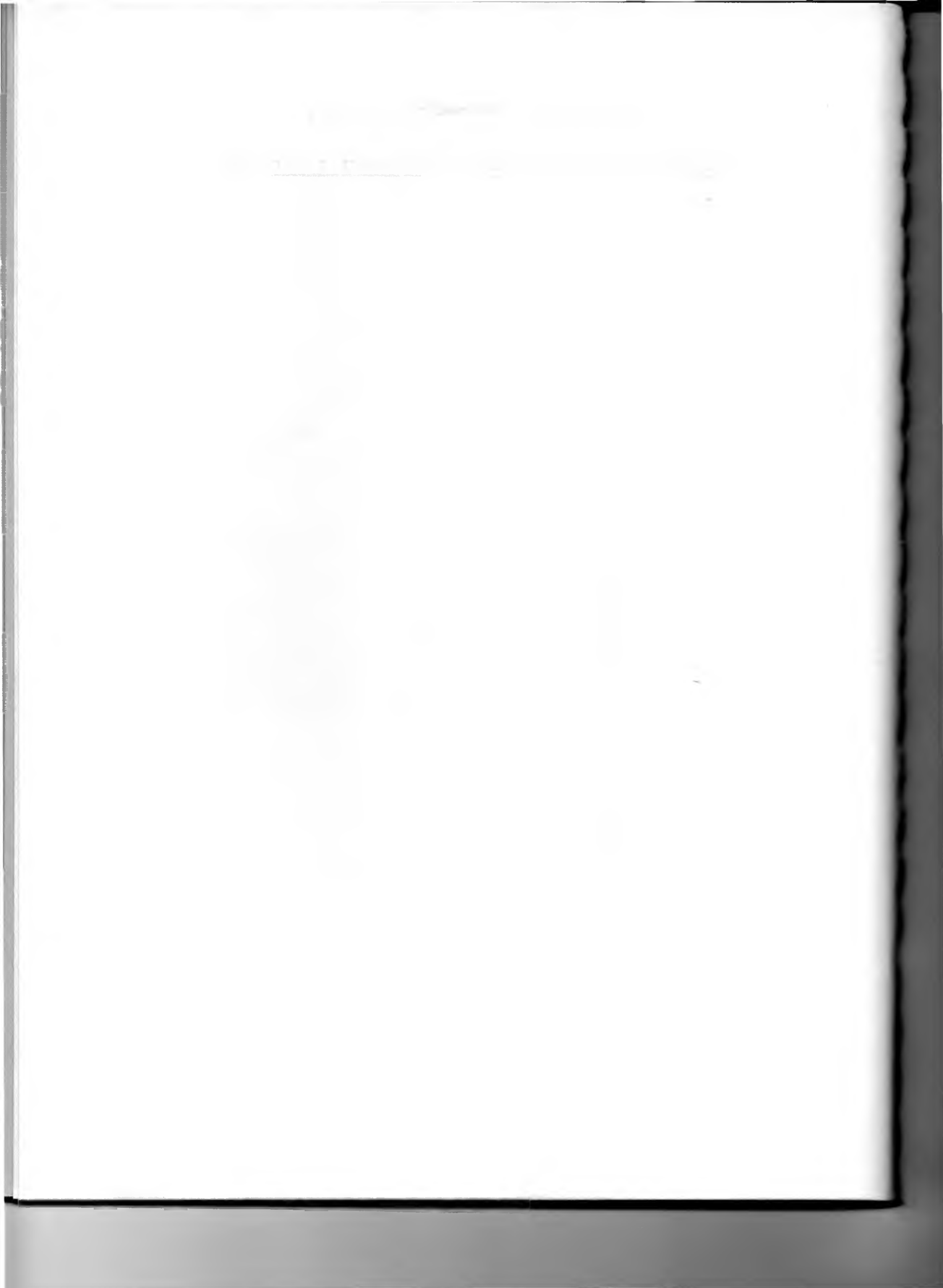
Requested Subsidy

\$ _____



Publication Subvention Category

Statement of Significance and Impact of Project



Eligible Gifts and Donors

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

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

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

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

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

Grantee Responsibilities

If funding is approved by the Endowment, the applicant organization will be responsible for insuring that the grant is administered in accord with the following provisions:

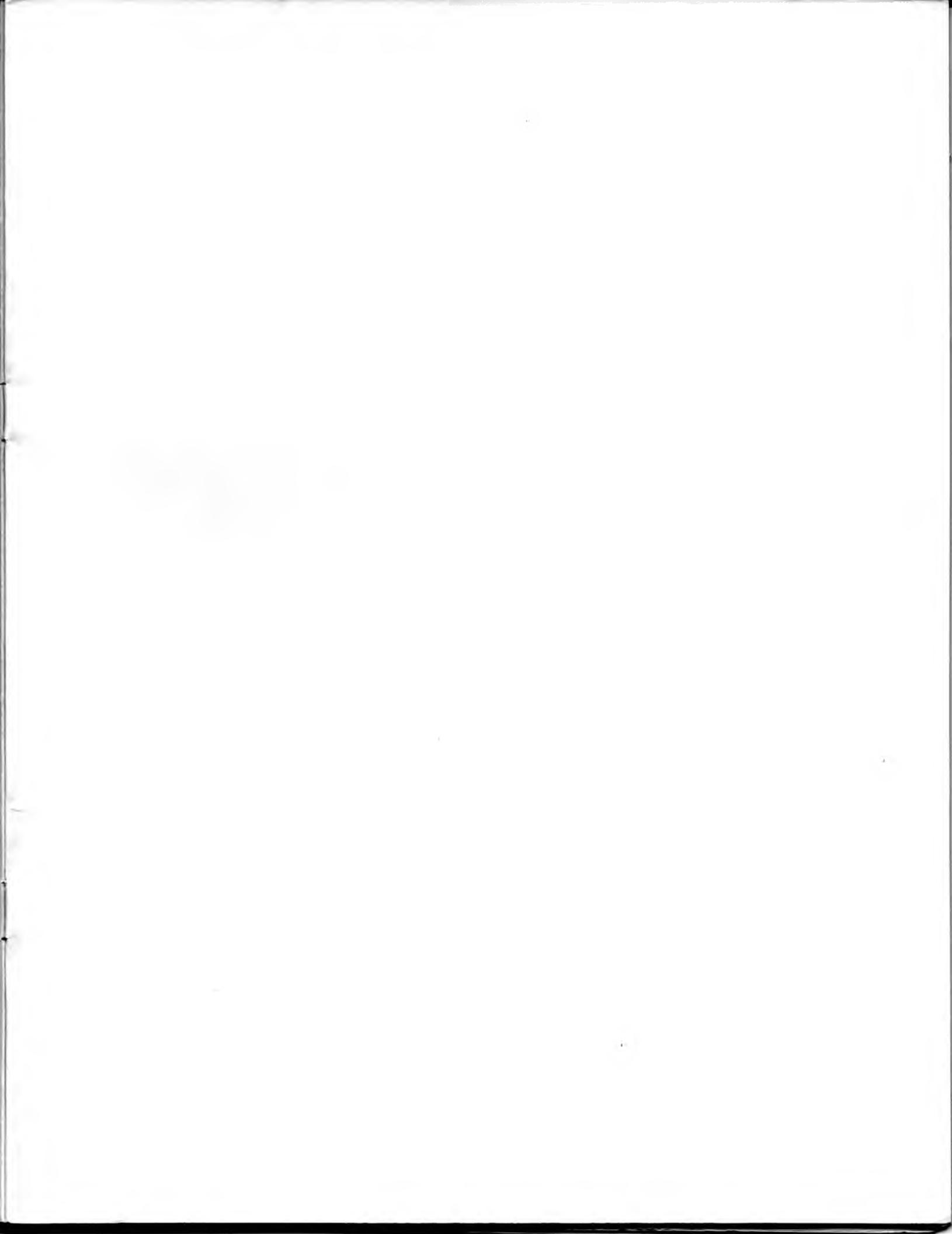
- The grantee must have a financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost-sharing contributions and that monitors the expenditure of these funds against the approved budget.
- All commitments and obligations of grant funds are to occur during the grant period.
- Project activities are to be carried out in accordance with the schedule provided in the approved application.
- Changes in the scope and objectives of the project may not be made without prior Endowment approval.
- The replacement of the project director, the codirector, or other professional staff members who are specifically named in an award notice requires prior Endowment approval. Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.
- All procurement transactions are to be conducted in a manner that provides, to the maximum extent practical, open and free competition; for purchases in excess of \$10,000, any use of sole-source contracts must be fully justified and documented.
- Unless otherwise notified in writing, grantees must acknowledge Endowment support in all materials resulting from grant activities.
- If a grantee earns income from grant activities or products that result from grant activities, the Endowment reserves the right to recover a portion of the program income.

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 the director, Office of Equal Opportunity, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.

Note:

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



Division of Research Programs
National Endowment for the Humanities
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