National
Endowment
for the
Humanities

Division of
Fellowships
and
Seminars

Guidelines and
Application
Materials

Application
Deadline:
March 15, 1993

Faculty Graduate Study Program for Historically Black Colleges and Universities

OMB No. 3136-0060
Expires 6/30/93

Faculty Graduate Study Program

GUIDELINES
AND
APPLICATION
FORMS

Division of Fellowships and Seminars

Application Deadline:
March 15, 1993

CHECKLIST OF APPLICATION MATERIALS
FACULTY GRADUATE STUDY PROGRAM

1. The original proposal, which includes

   (a) the one-page NEH application cover sheet,
   (b) a résumé of no more than two pages,
   (c) a description of the proposed study,
   (d) a letter of certification by the president of the institution (or a designee),
   (e) the original project budget form with one copy, and
   (f) the data card;

2. Eight collated copies of the application cover sheet, résumé, and description of the proposed study;

3. Two letters of recommendation, to be submitted separately by the referees on the reference letter forms; and

4. One verification form to be submitted separately by the appropriate graduate school official.

NATIONAL ENDOWMENT FOR THE HUMANITIES

The National Endowment for the Humanities is an independent grant-making agency established by Congress in 1965 to support research, education, and public projects in the humanities.

THE HUMANITIES

In the act that established the National Endowment for the Humanities, the term *humanities* includes, but is not limited to, the study of the following disciplines: history; philosophy; languages; linguistics; literature; archaeology; jurisprudence; the history, theory, and criticism of the arts; ethics; comparative religion; and those aspects of the social sciences that employ historical or philosophical approaches.

Study in the creative or performing arts — such as writing of fiction or poetry, painting, sculpting, composing or performing music, acting, directing, and dance — is not eligible for support by the National Endowment for the Humanities. Critical, historical, and theoretical studies of the arts, however, are eligible for support.

FACULTY GRADUATE STUDY PROGRAM

The Faculty Graduate Study Program for Historically Black Colleges and Universities is designed to strengthen the teaching of the humanities by providing one year of support for teachers at these institutions to work toward the completion of a doctoral degree in the humanities. The deadline for submission of applications is March 15, 1993. Awards of up to $30,000 for study in academic year 1994-95 will be announced by September 1993.

EAST-WEST CENTER FELLOWSHIP

In addition to those fellowships offered by NEH, the East-West Center in Honolulu, Hawaii, will offer one fellowship within the Faculty Graduate Study Program for Historically Black Colleges and Universities. The fellowship will be available to an HBCU faculty member to support a year of graduate study in the humanities. The fellowship will be funded by the East-West Center, a non-degree granting education and research institution established in 1960 by the United States Congress to promote understanding between the United States and countries of the Asia/Pacific region. The recipient would participate in the educational and research programs of the Center. Currently the Center's research programs in the humanities include cultural studies related to Asia, Pacific Islands studies, and international relations.

The resources of the adjacent University of Hawaii at Manoa, one of the largest centers for Asian Studies in the nation, will also be available. Further information about the East-West Center may be obtained by writing to Dr. Elizabeth Buck, Asian Studies Development Program, 1777 East-West Road, Honolulu, Hawaii 96848. Telephone 808/944-7315.

Applicants should follow the same application procedures as for the Faculty Graduate Study Program. Completed applications should be sent directly to the HBCU Faculty Graduate Study program, Division of Fellowships and Seminars, Room 316, 1100 Pennsylvania Avenue, NW, Washington, D.C. 20506. Telephone 202/606-8466.

Eligibility

Graduate study leading to a doctorate in education is ineligible.

An applicant for graduate study through this program must be employed at a historically black college or university, and must submit a written statement from the chief administrator of the institution verifying the applicant's status at that college or university.

Applicants should be U.S. citizens, native residents of U.S. jurisdictions, or foreign nationals who have been residing in the United States or its jurisdictions for at least the three years immediately preceding the application deadline.

Applicants should be persons who are well qualified to pursue the proposed year of graduate study, who are able and committed teachers, and/or who will make strong contributions to the humanities. **Applicants must have already completed at least one year of graduate work.**

There is no limitation on the number of faculty members who may apply from an institution.

Grant Tenure and Conditions of Award

Each grant provides up to $30,000 for a continuous period of study from nine to twelve full months. The grant is intended to be equivalent to the applicant's 1994-95 academic-year salary and to assist in covering tuition and required fees, books, and other associated costs, including, where applicable, temporary relocation expenses for the applicant (and family) for the period of the grant. **All grants will be made to the historically black college or university and are to be administered by that institution.**

Successful applicants may supplement their awards with other grants for this study, including additional grants from their own institutions or from the institution selected for the tenure period. Fellows who receive offers of additional support must notify the Endowment immediately; the total amount of grant income must not exceed the total allowable costs identified in the budget for the year of study.

Fellows must devote full time to the proposed plan of study and may not accept teaching assignments or undertake other major activities during the tenure of the award. In addition, Fellows are expected to be in residence at the institution where the doctorate is being sought, except during any travel necessary for dissertation research.

Ordinarily the tenure period will begin about one year after the announcement of the grant. Thus, Fellows from this year's competition will, in most cases, begin their year of supported study in the fall of 1994.

Final reports must be submitted to the Endowment by both the appropriate official of the certifying institution and the individual recipient. These reports are due ninety days after the end of the grant period.

Criteria for Selection

Applications will be judged on the basis of the following criteria:

1. the significance of the contribution that the applicant will make to the humanities upon returning to the employing institution;

2. the quality or promise of quality of the applicant's work as a teacher, scholar, or interpreter of the humanities;

3. the conception, definition, organization, and description of the proposed study; and

4. the likelihood that the applicant will complete the proposed study successfully by the end of the tenure period.

Applicants to the Faculty Graduate Study Program should have been teaching at the college or university level for at least two years at the time of application. **While those not yet at the dissertation stage of their doctoral work are welcome to apply, preference will be given to persons who have completed the course work and qualifying examinations required for the doctoral degree. These persons will devote the year exclusively to preparing the doctoral dissertation.**

Location of Study

These awards are for study and research at any accredited institution of higher education in the United States that offers a doctoral degree in an appropriate discipline of the humanities. Applicants at the dissertation stage who need to travel to archives or other research sites should provide this information as part of the plan of work. **Fellows are expected to be in residence at the institution where the doctorate is being sought except during any travel necessary for dissertation research.**

Verification of Graduate School Status

The applicant should mail the enclosed graduate school verification form to the appropriate graduate school official (dean, department chair) and request that the form be completed and sent directly to the Endowment. The information given on the verification form will document the applicant's graduate status. Directions for mailing and information about the Faculty Graduate Study Program are provided on the form.

Application Deadline and Notification of Awards

Applications must be postmarked by March 15, 1993. Awards will be announced in September 1993.

Application Review Process

The Faculty Graduate Study program has one review cycle per year. The process begins with the March 15 application deadline and lasts approximately five months.

Each application to the Endowment is assessed by knowledgeable persons outside the agency who are asked for their judgments about the quality and significance of the proposed project. About 1,200 scholars, professionals in the humanities, and other experts serve on approximately 225 panels in the Endowment throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds.

The advice of these panelists is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then presented to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate. The Council meets four times each year to advise the Chairman of the Endowment. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, takes into account the advice provided by this review process and, by law, makes the final decision about funding.

Reapplication is always possible, and failure to gain support in one year does not prejudice an applicant's chances for reconsideration in future competitions.

APPLICATION INSTRUCTIONS

The NEH application cover sheet and the project budget form — with instructions for preparation of each — follow page 4. The data card is located on the inside back cover. The following materials are essential parts of the application, and **no application can be reviewed without them:**

Application Cover Sheet

The signed application cover sheet should be the first page of the application with all other required documents attached in the order listed on the checklist at the front of this booklet. Instructions for completing each block of the application form are listed on the pages preceding the cover sheet.

Résumé

The résumé should be in concise, outline form and **should not exceed two pages**. The following information should be included:

a) a record of the applicant's education, including the dates degrees were awarded, the names of institutions, titles of theses, and further graduate course work;

b) a record of the applicant's employment and present position, including courses currently taught;

c) a list of any important academic honors or awards received, including source, tenure dates, and purpose of all fellowships and grants;

d) a brief list of major professional activities and positions held in professional organizations; and

e) a list of publications, if any. Applicants **should not** submit articles, books, or similar materials as supplements to the application.

Description of Proposed Study

The heart of the application is an essay of no more than three single-spaced or six double-spaced pages describing the proposed study. The essay should include a clear presentation of the applicant's progress in doctoral work, the work that the applicant intends to accomplish during the period of the desired award, and the projected schedule for completing all requirements for the degree. The applicant should specify all degree requirements—e.g., hours of coursework, examinations in foreign languages, qualifying and/or comprehensive examinations, dissertation proposal hearing—and should indicate which requirements have been satisfied at the time of application and which are to be met before the proposed starting date of the award. The applicant should then specify the work intended to be done during the period of the award. The applicant should also identify the degree itself, including the discipline of the humanities, and indicate the relevance of this degree and field to the applicant's present and future teaching assignments.

Unless the dissertation topic has been officially approved, limit any discussion of the dissertation to one paragraph or less.

Although no particular form is prescribed, the applicant should describe the proposed program by addressing the appropriate set of questions listed below.

For applicants whose dissertation topic has been officially approved:

a) What are the basic ideas, problems, texts, or questions the study will examine? What is the planned approach or line of thought?

b) What is the current state of the proposed study? Is it in the beginning stages or in progress? What are the plans for each stage? There should be a proposed schedule or plan of work that the applicant would follow during the tenure of the award.

c) What is the relationship between the proposed study and the applicant's long-range teaching or scholarly objectives or the applicant's development as a teacher, scholar, or interpreter of the humanities?

d) What contribution is the proposed study likely to make to the specific field of study or to general teaching and learning in the humanities?

e) What is the relationship between the proposed work and the work of others in the same field? What is distinct about the proposed work?

f) What is the applicant's competence in any languages needed for the study?

g) Where will the applicant conduct the study? Is travel necessary? If so, what is the itinerary? What is the likelihood of access to archives, collections, or institutions with resources necessary for the work?

For applicants who propose to continue graduate course work:

a) What courses does the applicant plan to take during the tenure of the grant? (Please list all courses and credit hours.)

b) What is the relationship between the proposed courses and graduate courses already completed — that is, are these courses in the same discipline?

c) What is the relationship between the proposed course work and the applicant's development as a teacher and interpreter of the humanities?

d) At what institution will the course work be pursued? Why is this institution suitable for the subjects the applicant wishes to study?

e) What are the applicant's long-range plans for completion of the doctoral studies? Include a brief statement about the approximate number of courses and credit hours needed to complete requirements for the degree.

Certification

A letter of certification for each applicant must be prepared by the president (or designee) of the employing institution and submitted as part of the application. The letter should (1) identify the applicant; (2) describe the applicant's current teaching assignment and the place of that assignment in the employing institution's humanities curriculum; (3) explain why and how the applicant's year of full-time study toward the doctoral degree in the humanities will enhance teaching at the institution; and (4) explain the agreement reached between the applicant and the president (or designee) regarding the applicant's employment status at the end of the year of full-time study.

Submission of Application

The original application and eight additional copies—needed for the review process—should be mailed to the

Faculty Graduate Study Program
Division of Fellowships and Seminars, Room 316
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

Additional copies of the application should be retained for the files of the institution and the applicant.

REFERENCE LETTERS

Two letters of reference are required. These letters should provide salient information about the applicants and their proposals, and applicants should select their referees carefully. **At least one of the reference letters should be from a present or former professor in the applicant's most recent graduate program, someone who is familiar with the applicant's scholarly capabilities and potential.**

Applicants should fill out the top part of the enclosed reference- letter forms and send one form to each referee. Applicants are responsible for ensuring that referees send these letters directly to the Endowment address given above.

EEO STATEMENT

Endowment programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Equal Employment Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506. TDD (for the hearing impaired only) 202/606-8282.

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.

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; review and discussion by peer review advisory panels and, in some programs, evaluation by specialist reviewers, Endowment staff, and members of the National Council on the Humanities; 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 NEH APPLICATION COVER SHEET

(The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is eight hours per response. This estimate includes the time for reviewing instructions; researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Assistant Chairman for Administration, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0060), Washington, D.C. 20503.)

Block 1. Individual Applicant:

Item a: Give a mailing address good through September 1993.

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

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

Item c: Enter the applicant'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 d: Please use the fields listed on the back of the cover sheet as a guide. Write the name of the field and also put the code number in the box: for example, American History, A3. If the field of your specialty is not listed, indicate the general discipline in which it falls or the closest major field.

Item e: Applicants should be U.S. citizens, native residents of U.S. jurisdictions, or foreign nationals who have been residing in the United States or its jurisdictions for at least the three years immediately preceding the application deadline. Check the appropriate block. If a foreign national, use the space provided to specify the month and year in which the applicant came most recently to reside in the United States.

Block 2. Prechecked.

Block 3. Prechecked.

Block 4. Preprinted on the form. If application is being made under the Endowment's special initiative described on page 000 of the guidelines, please enter the code 03D (for the Emergence of Democracy).

Block 5. Requested Grant Period: Tenure may start any time between January 1, 1994 and September 30, 1994.

Block 6. Project Funding: Enter on lines (a) and (c) the appropriate figures from the Project Budget that is part of the application. Do not complete lines (b), (d), and (e).

Block 7. Field of Project: List 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: for example, American History, A3.

Block 8. Descriptive Title of Project: Enter the applicant's field of study and degree sought. For example, an applicant might fill in this block with "Ph.D. in History" or "Ph.D. in French Literature." **Do not enter the title of the dissertation project.**

Block 9. Description of Proposed Project: Identify the applicant's study plans by checking the appropriate item(s).

Block 10. Not applicable.

Block 11. Institutional Data:

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

Item b. Enter the institution's employer identification number.

Item c. The authorizing official is the president (or designee). This person must provide the certifications required in Block 12.

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and the 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 c), 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—Certification

The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Institutional applicants are required to certify that they will comply with the nondiscrimination statutes and their implementing regulations. These certifications and the accompanying instructions found in the appendix of this brochure should be read carefully before the application cover sheet is signed because most of these certifications impose new responsibilities on successful applicants.

The person whose name appears in Block 11, Item c, should sign Block 12.

NEH APPLICATION COVER SHEET

OMB No. 3136-0060
Expires 6/30/93

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. Telephone number
Office: ____ / ____ (area code) Home: ____ / ____ (area code)

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

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

2. Type of applicant

a. ☐ by an individual b. ☒ through an org./institution
If a, indicate an institutional affiliation, if applicable, on line 11a.
If b, complete block 11 below and indicate here:
c. Type
d. Status

3. Type of application

a. ☐ new b. ☐ supplement

4. Program to which application is being made

Faculty Graduate Study Program | 6620

Endowment Initiatives: _____ (code)

5. Requested grant period

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

During the tenure of my proposed study, I will be engaged in:

☐ research and writing of the dissertation
☐ course work and qualifying examinations
☐ other (explain)

10. Will this proposal be submitted to another government agency or private entity for funding?
(if yes, indicate where and when): Not applicable.

11. Institutional data

a. Institution or organization:

_____
(name)

_____
(city) (state)

b. Employer identification number _____

c. Name of authorizing official:

_____
(last) (first) (initial)

_____
(title)

d. Name and mailing address of institutional grant administrator:

_____
(last) (first) (initial)

_____

_____

_____
(city) (state) (zip code)

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

12. Certification

By signing and submitting this application, the individual applicant or the authorizing official of the applicant institution (block 11c) is providing the applicable certifications regarding the nondiscrimination statutes and their implementing regulations, federal debt status, debarment and suspension, and a drug-free workplace, as set forth in the appendix to these guidelines.

_____ _____
(signature of authorizing official, Block 11, item c.) (date)

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

For NEH use only
Date received
Application #
Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 1d and 7 of the NEH Applications 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 I2

Philosophy B1

Aesthetics B2
Epistemology B3
Ethics B4
History of Philosophy B5
Logic B6
Metaphysics B7
Non-Western Philosophy B8

Religion E1

Comparative Religion E5
History of Religion E2
Non-Western Religion E4
Philosophy of Religion E3

Social Science U2

American Government F2
Economics N1
Geography U7
International Relations F3
Political Science F1
Psychology U5
Public Administration F4
Sociology S1

INSTRUCTIONS FOR BUDGET FORM

The instructions provided below are applicable to the Faculty Graduate Study Program and are keyed to the budget form included in these guidelines. Before completing the form, the applicant should review these instructions carefully. The original budget sheet, with one copy, should be sent as part of the application package.

Applicant: Indicate the name of the faculty member who proposes to undertake the program of study.

Certifying Institution: Provide the official title of the institution that employs the applicant. This institution will administer the grant if the applicant is successful.

Grant Period: Indicate the entire period (not to exceed one year) for which Endowment funding is requested in the application. The proposed program of study must take place within the requested grant period.

Direct Project Costs: Include all expenses that will be incurred during the grant period to accomplish the proposed program of study, **even if their total exceeds the amount that can be requested from NEH**. Please note that, because this program is intended to benefit applicant institutions through faculty development involving nominal overhead, no provision has been made for institutions to claim indirect costs. Institutions are not required to provide cost sharing.

1. Salary—The applicant's salary for the 1994-95 academic year is to be used in calculating the budget for this award.

2. Fringe Benefits—Include here an amount to cover any medical insurance or other benefit programs being paid by the institution for the applicant and indicate the basis of the calculation.

3. Tuition and Fees—Include the tuition and required fees as designated by the selected institution for the applicant's requested program of study during academic year 1994-95. These fees should be listed individually under "Itemization of Costs."

4. Travel/Relocation—The travel allowance is intended to cover round-trip transportation, overnight lodging, and subsistence costs for the applicant, spouse, and dependent children while traveling between the home and the location of the selected institution, and the moving of necessary books and furniture there and back. Travel costs must be estimated in accordance with the certifying institution's established travel policies, provided that the travel results in reasonable charges and that economy air accommodations are used when they are reasonably available. Under "Itemization of Costs," list for each trip the number of persons traveling, the total days they will be in travel status, and the total subsistence and transportation costs for that trip.

The applicant may include travel costs to conduct research but **may not** request research travel costs for a spouse and dependent children.

All charges for travel must be fully justified, and if necessary, a separate sheet may be attached to the budget form for this purpose.

5. Books and Supplies—If this amount exceeds $500, special justification must be provided under "Itemization of Costs."

6. Other Associated Costs—Include any costs specifically identified with the proposed study that are not listed elsewhere in the budget. Justification for these associated costs must be included on the budget form. **Please note that "miscellaneous" and "contingency" are not acceptable budget categories.**

7. Itemization of Costs—In this section of the budget form, provide the budget detail to support the amounts requested for Travel/Relocation, Tuition and Fees, Books and Supplies (if the requested amount exceeds $500), and Other Associated Costs.

8. Institutional Grant Administrator—The institutional grant administrator is the person who will be responsible for the administration of the grant, including 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.

OMB No. 3136-0060
Expires: 6-30-93

BUDGET FORM

Applicant _____ If this is a revised budget, indicate the NEH application/grant number: _____

Certifying Institution _____ Grant Period From _____ through _____
mo/yr mo/yr

Direct Project Costs

1.	Salary Replacement	$_____
2.	Fringe Benefits (_____% of $_____)	_____
3.	Tuition and Fees	_____
4.	Travel/Relocation	_____
5.	Books and Supplies	_____
6.	Other Associated Costs	_____
	Total Direct Costs (include all of the above)	$_____
	Amount Requested from NEH (not to exceed $30,000)	$_____

7. Itemization of Costs

Use the space below to itemize the costs of travel, tuition and fees, books and supplies, and other associated costs. A separate sheet may be attached to the budget form if more space is needed.

Travel Costs

from/to	no. of persons	total travel days	subsistence costs	+	transportation costs	=	Amount
_____	( )	( )	_____		_____		$_____
_____	( )	( )	_____		_____		_____

8. Institutional Grant Administrator

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

Signature _____ Date _____

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Division of Fellowships and Seminars
National Endowment for the Humanities
Washington, D.C. 20506

REFERENCE LETTER FOR THE FACULTY GRADUATE STUDY PROGRAM

To Be Completed by the Applicant:

Name of Applicant:
Institution:
City and State:

Humanities Discipline of Ph.D.:

For Use of Referee: (Please see back of this page for guidelines. Do not use blue ink.) Additional pages may be attached.

Signature of Referee _____ Date _____

Name and Title _____

Department (or Position) _____

Institution (or Employer) _____

GUIDELINES FOR REFEREES

The person named on the front of this form has applied for an NEH Fellowship in the Faculty Graduate Study Program for Historically Black Colleges and Universities. We would appreciate receiving from you a judicious assessment of this applicant.

The Faculty Graduate Study Program for Historically Black Colleges and Universities is designed to strengthen the teaching of the humanities by providing one year of support for teachers at these institutions to work toward the completion of a doctoral degree in the humanities. Applicants to the program should have been teaching at the college or university level for at least two years at the time of application. While those not yet at the dissertation stage of their doctoral work are welcome to apply, preference will be given to persons who have completed the course work and qualifying examinations required for the doctoral degree; however, applicants taking courses in a doctoral program in the humanities are also considered. Awards up to $30,000 for study in academic year 1994-95 will be announced in September, 1993.

Please judge the applicant according to the following selection criteria for the NEH Faculty Graduate Study Program and add any other comments that you think might be helpful.

1. the significance of the contribution that the applicant will make to the humanities upon returning to the employing institution;

2. the quality or promise of quality of the applicant's work as a teacher, scholar, or interpreter of the humanities;

3. the conception, definition, organization, and description of the proposed study; and

4. the likelihood that the applicant will complete the proposed study successfully by the end of the tenure period.

The National Endowment for the Humanities will keep reference letters confidential to the extent permitted by law.

It is important to the applicant that we receive your letter by the application deadline of March 15. Please send the letter directly to the

Faculty Graduate Study Program
Division of Fellowships and Seminars, Room 316
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

OMB No. 3136-0060
Expires: 6-30-93

Division of Fellowships and Seminars
National Endowment for the Humanities
Washington, D.C. 20506

REFERENCE LETTER FOR THE FACULTY GRADUATE STUDY PROGRAM

To Be Completed by the Applicant:

Name of Applicant:
Institution:
City and State:

Humanities Discipline of Ph.D.:

For Use of Referee: (Please see back of this page for guidelines. Do not use blue ink.) Additional pages may be attached.

Signature of Referee _____ Date _____

Name and Title _____

Department (or Position) _____

Institution (or Employer) _____

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National Endowment for the Humanities
Division of Fellowships and Seminars
Faculty Graduate Study Program

GRADUATE SCHOOL VERIFICATION FORM

To Be Completed By The Applicant:

Name of Applicant:
Institution:
City and State:
Exact Title of Degree: Ph.D. in _____
Requested Grant Period: from _____ to _____
month/yr month/yr

For Respondent:

The person named above has applied for an NEH Fellowship through the Faculty Graduate Study Program. We would appreciate your providing the information requested below and any additional comments that will ensure accurate documentation of the applicant's status as a graduate student in a Ph.D. program at your institution. This is **not** a reference letter.

Status of Applicant: (check one and fill in the appropriate information)

_____is writing the dissertation in the_____department.

_____has completed course work and other requirements except the dissertation in the _____department.

_____is taking courses in the_____department and is expected to complete course work by_____.
(approximate date)

_____is not currently registered in the_____graduate program and will have to be readmitted.

_____has recently applied for admission in the _____graduate program and was accepted_____.
(date)

_____Other (Please explain).

Signature of Respondent _____

Name and Title _____

Institution _____

The Faculty Graduate Study Program provides one year of support for teachers of the humanities at historically black colleges and universities to work toward the completion of a doctoral degree in the humanities. Applicants to the program should have been teaching at the college or university level for at least two years at the time of their application. While those not yet at the dissertation stage of their doctoral work are welcome to apply, preference will be given to persons who have completed course work and qualifying examinations for the doctoral degree. However, applicants taking courses in a doctoral program are also considered. Awards up to $30,000 for study in academic year 1994-95 will be announced in September 1993.

It is important to the applicant that we receive your letter by the application deadline of March 15. Please send the form directly to the

Faculty Graduate Study Program
Division of Fellowships and Seminars, Room 316
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

OTHER PROGRAMS OF THE DIVISION OF FELLOWSHIPS AND SEMINARS

Information on the programs of the Division of Fellowships and Seminars is available from the

Division of Fellowships and Seminars
Room 316
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

NEH Fellowships, Summer Stipends, and the Faculty Graduate Study Program for Historically Black Colleges and Universities: 202/606-8466.

NEH Summer Seminars, Study Grants for College and University Teachers, Dissertation Grants, and Younger Scholars Program: 202/606-8463.

SPECIAL INITIATIVE

A special initiative is an undertaking by the Endowment to encourage proposals in all grant-making categories for projects relating to a specific subject or event. Proposals are currently solicited for the following initiative:

The Emergence of Democracy. In commemoration of the 2500th anniversary of the birth of democracy and in recognition of the spread of democratic institutions in our own time, the Endowment invites projects that focus on democracy, its origins and development, as well as its recent growth around the world. The collapse of the Soviet Union has created a renewed interest in — and greater opportunities for — the study of the history and culture of countries in that part of the world that have recently established democratic institutions. At the same time, the trend toward democracy in Latin America, as well as democratic movements in Asia and Africa, make the emergence of democracy a timely topic for research, educational, and public projects in the humanities.

The Endowment encourages projects that focus on the history and philosophy of democracy, on the historical and cultural contexts of emerging democracies and democratic movements around the world. The Endowment also encourages projects that make use of libraries, archives, and scholars inaccessible under previous regimes.

Appendix

Instructions for the Certifications

The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Institutional applicants are required to certify that they will comply with the nondiscrimination statutes and their implementing regulations.

By signing and submitting a proposal the individual applicant or the authorizing official of the applicant institution provides the applicable certifications. When a prospective applicant is unable to certify regarding the nondiscrimination statutes and their implementing regulations, or a drug-free workplace, that person is not eligible to apply for funding from the Endowment. When an applicant is unable to certify regarding federal debt status or debarment and suspension, an explanation must be attached to the proposal. The explanation of why the certification cannot be submitted will be considered in connection with the Endowment's funding determination. Failure to furnish a certification or an explanation shall disqualify the applicant from receiving an award from the Endowment.

The certifications are material representations of fact upon which reliance will be placed when the Endowment determines to fund the application. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, in addition to other remedies available to the federal government, the Endowment may seek judicial enforcement of the certification (nondiscrimination statutes and implementing regulations); may terminate the award for cause or default (federal debt status and debarment and suspension); and may suspend payment, suspend or terminate the grant, or suspend or debar the grantee (drug-free workplace).

The applicant shall provide immediate written notice to the director of the NEH Grants Office if at any time the applicant learns that its certifications were erroneous when submitted or have become erroneous by reason of changed circumstances.

Nondiscrimination Statutes and Their Implementing Regulations

The certification regarding the nondiscrimination statutes and implementing regulations shall obligate the applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with Endowment assistance, this certification shall obligate the applicant for the period during which it retains ownership or possession of that property. If any real property or structure is improved with Endowment support, this certification shall obligate the applicant or any transferee for as long as the property or structure is used for the grant or similar purposes. This certification is binding on the applicant, its successors, transferees, and assignees, and on the authorizing official whose signature appears on the application cover sheet for this proposal.

Grantees are also required to evaluate their policies and practices toward the disabled to make certain they comply with Endowment regulations prohibiting discrimination of the disabled.

Federal Debt Status

If an applicant is unable to certify regarding federal debt status, an explanation must be submitted with the proposal.

Definitions of terms used in the federal debt status certification:

Delinquent: Represents the failure to pay an obligation or debt by the date specified in the agency's initial written notification or applicable contractual agreement, unless other satisfactory payment arrangements have been made by that date, or if at any time thereafter, the debtor fails to satisfy the obligation under a payment agreement with the agency.

Federal Debt: The amount of money or property that has been determined by an appropriate agency official to be owed to the United States by any person, organization, or entity. Examples of debts include delinquent taxes, audit disallowances, guaranteed and direct student loans, housing loans, farm loans, business loans, Department of Education institutional loans, benefit overpayments, and other miscellaneous administrative debts.

Debarment and Suspension

The applicant agrees by submitting this proposal that should the proposal be funded by the Endowment, it shall not knowingly enter into any project-related transactions (as defined under "lower tier covered transactions") with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Endowment.

The applicant further agrees by submitting this proposal to include without modification the follow

ing clause in all lower tier covered transactions and in all solicitations for lower tier covered transactions:

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

A grantee may rely on the certification of a prospective subrecipient that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A grantee may decide the method and frequency by which it determines the eligibility of its "principals."

Except when specifically authorized by the Endowment, if a grantee knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to the remedies available to the federal government, the Endowment may terminate this transaction for cause or default.

Definitions of terms used in the debarment and suspension certification:

Covered Transaction: A covered transaction is either a primary covered transaction or a lower tier covered transaction.

Debarment: An action taken by a debarring official in accordance with 45 CFR Part 1169 to exclude a person from participating in covered transactions. A person so excluded is "debarred."

Ineligible: Excluded from participation in federal nonprocurement programs pursuant to a determination of ineligibility under statutory, executive order, or regulatory authority, other than Executive Order 12549.

Lower Tier Covered Transaction: (a) Any transaction between a participant and a person other than a procurement contract for goods or services, regardless of type, under a primary covered transaction. (b) Any procurement contract for goods or services between a participant and a person, regardless of type, expected to equal or exceed the federal procurement small purchase threshold fixed at 10 U.S.C. 2304(g) and 41 U.S.C. 253(g) [currently $25,000] under a primary covered transaction. (c) Any procurement contract for goods or services between a participant and a person under a covered transaction, regardless of amount, under which that person will have a critical influence on or substantive control over that covered transaction. Such persons are project directors, principal investigators, and providers of federally-required audit services.

Participant: Any person who submits a proposal for, enters into, or reasonably may be expected to enter into a covered transaction. This term also includes any person who acts on behalf of or is authorized to commit a participant in a covered transaction as an agent or representative of another participant.

Person: Any individual, corporation, partnership, association, unit of government or legal entity, however organized, except foreign governments or foreign governmental entities, public international organizations, foreign government owned or controlled entities.

Primary Covered Transaction: This is normally any nonprocurement transaction between an agency and a person, regardless of type, including grants, cooperative agreements, scholarships, fellowships, contracts of assistance, loans, loan guarantees, subsidies, insurance, payments for specified use, donation agreements, and any other nonprocurement transactions between a federal agency and a person.

Principal: Officer, director, owner, partner, key employee, or other person within a participant with primary management or supervisory responsibilities; or a person who has critical influence on or substantive control over a covered transaction, whether or not employed by the participant.

Suspension: An action taken by a suspending official in accordance with these regulations that immediately excludes a person from participating in covered transactions for a temporary period, pending completion of an investigation and such legal, debarment, or Program Fraud Civil Remedies Act proceedings as may ensue.

Voluntarily Excluded: The status of nonparticipation or limited participation in covered transactions assumed by a person pursuant to the terms of a settlement.

Drug-Free Workplace

By signing and submitting the application, the institutional applicant agrees, among other things, to establish an on-going drug-free awareness program; to publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace; and to give this statement to each employee to be engaged in the performance of the grant. For grants that have a performance period in excess of 30 days, the program and policy statement must be in place within thirty days of the date the award is issued.

A grantee will be considered in violation of the drug-free workplace requirements if the grantee falsely certifies, fails to carry out the requirements of the certification, or fails to make a good faith effort to maintain a drug-free workplace.

The applicant must either identify in the application proposal the place(s) where the grant activities will be carried out or must keep this information on file in its office so that it is available for federal inspection. Workplace identification shall include the actual address of buildings (or parts of buildings) or other sites where work under the grant will take place. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

Definitions of terms used in the drug-free workplace certification:

Controlled Substance: A controlled substance in schedules I through V of the Controlled Substance Act (21 U.S.C. 812), and as further defined by regulation at 21 CFR 1308.11 - 1308.15.

Drug-free Workplace: A site for the performance of work done in connection with a specific grant at which employees of the grantee are prohibited from engaging in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance.

Employee: The employee of a grantee directly engaged in the performance of work under the grant, including all "direct charge" employees; all "indirect charge" employees, unless their impact or involvement is insignificant to the performance of the grant; and all temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll.

Grantee: A person who applies for or receives a grant directly from a federal agency.

Certifications

1. Certification Regarding the Nondiscrimination Statutes and Their Implementing Regulations (Applies to Recipients Other than Individuals)

The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d *et seq.*) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 *et seq.*) which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 *et seq.*) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

2. Certification Regarding Federal Debt Status (OMB Circular A-129)

The applicant certifies to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

3. Certification Regarding Debarment and Suspension (45 CFR 1169)

The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered

against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

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

(A) The grantee certifies that it will or will continue to provide a drug-free workplace by

(a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions;

(b) establishing an ongoing drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the grantee's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;

(c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

(f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

F92-16

FY-93 **NEH Faculty Graduate Study Program** OMB No. 3136-0060
Expires: 6-30-93

DATA CARD

Applicant's Name (Last name, first name, initial)	Descriptive Title of the Project (same as cover sheet)
Institutional Affiliation (Department, institution, city, and state)	1994-95 Academic Year Salary $ _____ Contract Basis: [ ] 9 months [ ] other: Specify _____
Mailing Address (if different from above)	Telephone Numbers (with area code) Office _____ Home _____
Academic Rank [ ] Professor [ ] Instructor [ ] Associate Professor [ ] Lecturer or other [ ] Assistant Professor	References (Name, positions, institutions) 1 _____ _____ _____ 2 _____ _____ _____

The data card should be completed and sent as part of the application package. It is not necessary to submit copies.

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Room 316
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