NEH
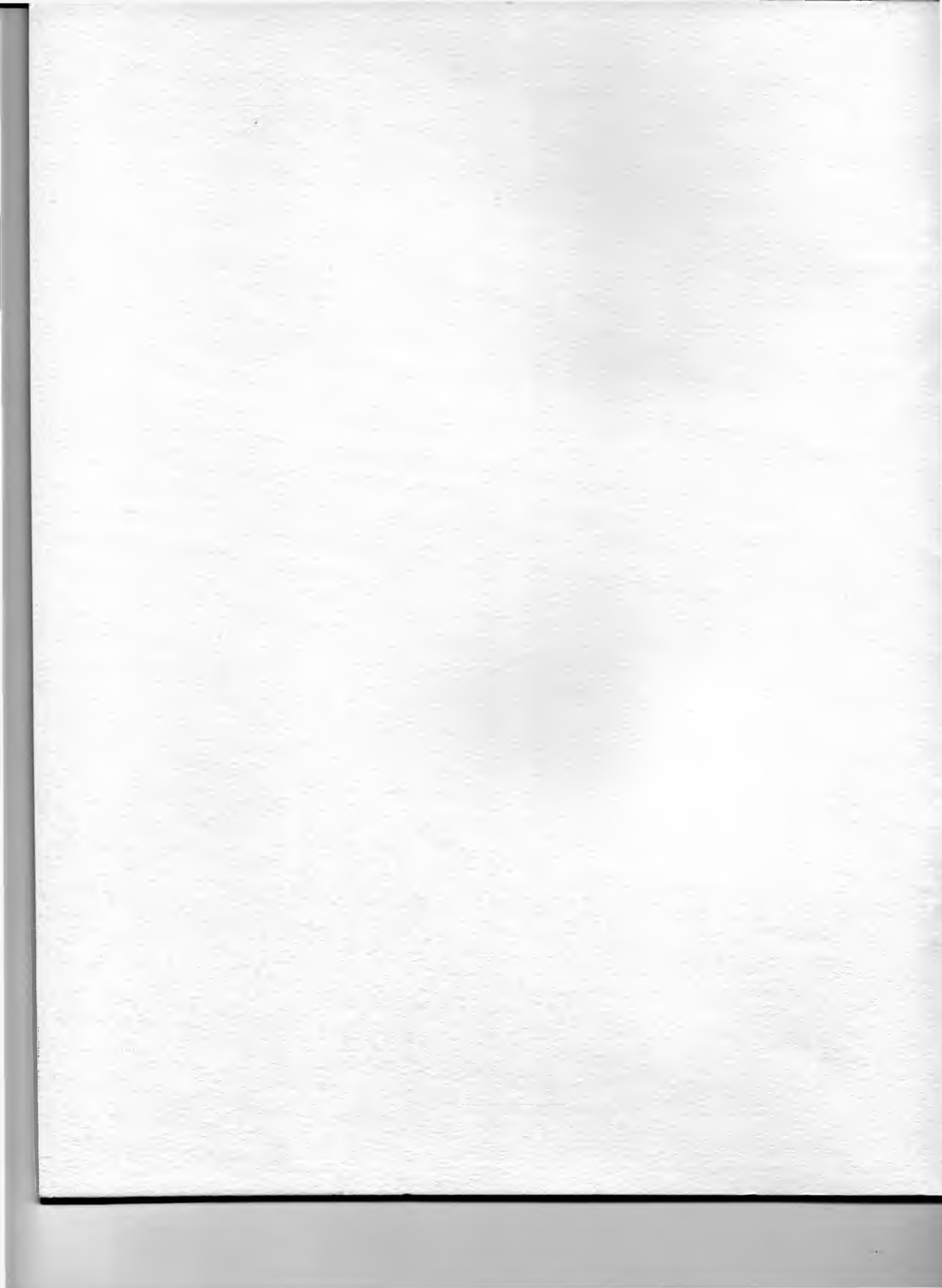
National
Endowment
for the
Humanities

Division
of
Research
Programs

Application
Instructions
and Forms

Texts

Editions

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INTRODUCTION

Because these instructions supplement the general guidelines of the Division of Research Programs, all applicants should read the guidelines brochure carefully before beginning the preparation of an application. The guidelines 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 for applicants to demonstrate that a project will make a significant contribution to scholarship in the humanities.

I.   TYPES OF PROJECTS

Grants in the Editions category support the preparation of scholarly and annotated editions in all fields of the humanities. The vast majority of supported projects involve the editing of significant literary, philosophical, and historical materials, but projects involving the editing of musical notation and other types of editing projects are also eligible. Proposals for editions of foreign language materials in the original language are eligible in this category, but proposals for editions containing translated materials should be submitted to the Translations category.

II.   COMPLEMENTARY PROGRAMS

The National Historical Publications and Records Commission (NHPRC), National Archives, Washington, D.C. 20408, provides support for editions of American historical documents. Applicants may request support from both the Endowment and the NHPRC. The amount and type of support requested from the NHPRC must be indicated in Block 10 of the enclosed Application Cover Sheet.

III. PRELIMINARY PROPOSAL

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

IV.   THE APPLICATION

The application should include eight parts: a cover sheet, a table of contents, a statement of significance and impact, a narrative description of the project, a budget, appendices (including résumés, which may be provided in any format but should include pertinent information concerning an individual's education, experience, and other qualifications), a statement of the history of any grants received for the project, and a list of qualified reviewers. Forms for the cover sheet, statement of significance and impact, budget, list of reviewers, and history of grants are enclosed.

A. Cover Sheet

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

B. Table of Contents

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

C. Statement of Significance and Impact of Project

Applicants should provide this information on the enclosed sheet with this heading. The statement of significance should explain why the project is important, what difference the results of the project will make, and to whom.

D. Narrative Description

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

1. Nature of the Project

This section should be a clear and concise statement of the nature of the edition and its value to scholars, students, and general readers of the humanities. Applicants should provide a full description of the materials that will be included in the edition and should discuss the relationship of the proposed edition to any previous editions of the same materials. The potential users of the edition should be identified.

2. History and Duration of the Project

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

3. Project Staff

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

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

If the project has an advisory board, a list of board members must be provided and the responsibilities of the board must be described. If the staff or advisory board has not yet been identified, the criteria by which members will be selected must be described.

4. Project Methodology

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

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

Applicants must also provide information on the methods used to prepare the materials for publication. An applicant proposing to produce a facsimile edition should confer with the publisher to determine if the materials are of sufficient quality for clear reproduction. If the project involves the use of a computer or word processor, details must be provided under section 7, "Computer Use."

Applicants submitting proposals for the preparation of microform editions or editions that will combine microform and printed volumes must describe the state of the materials to be filmed and the extent to which restoration (repairs, deacidification, encapsulation, etc.) will be necessary. The content and form of the guide to the filmed materials must also be described in detail. The applicant must make clear that the levels of access provided by the finding aids are appropriate to the needs of researchers using the edition and suitable to the documents themselves.

5. Work Plan

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

6. Final Product and Dissemination

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

Any applicant who proposes to undertake a large project, whether in print, microform, or some combination, should consult with a publisher at an early stage of planning so that the application will reflect the most efficient and economical method of preparing and presenting the materials for dissemination. In the proposal itself, applicants must indicate if an agreement to publish has been reached. Any pertinent correspondence with a publisher (such as a letter of interest) must be included in an

appendix. If the project involves materials currently under copyright, the application must include, in an appendix, letters giving the applicant permission to use and disseminate these materials.

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

7. Computer Use

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

8. Samples

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

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

For microform editions, applicants should provide examples of documents as they will appear in the edition, including identifying headers and any other apparatus. The photocopied samples should demonstrate the legibility of the documents. If some materials are to be transcribed for the edition, examples of such documents and their transcriptions should be included. If possible, the applicant should provide samples of the finding aids (such as reel lists or indices) that will accompany the edition.

E. Project Budget

The Budget Form and instructions for completing it are enclosed.

1. 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 $85,000 and $20,000 in gifts will be raised from eligible third parties, the applicant should request $20,000 in matching funds from the Endowment. Support for the balance of project expenditures ($45,000) may be requested in outright funds.

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

2. Cost Sharing

Cost sharing consists of the cash contributions made to the project by the applicant and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. Normally, Endowment support will not exceed 80 percent of the project's total costs; the balance of the project costs are to be shared by nonfederal sources. Cost sharing in renewal applications is usually at least 10 percentage points

higher than in an original proposal. Individual applicants need not show cost sharing in their applications unless they are requesting federal matching funds, in which case the gifts are normally shown as cost sharing. Individual applicants who receive grants only in outright funds are not expected to provide cost sharing.

3. Grant Period

The grant period encompasses the entire period for which Endowment support is requested in the current application. All project activities and the expenditure of project funds, that is, grant funds and cost-sharing contributions, must occur during the grant period. Projects can include full- or part-time activities for periods of up to three years.

F. Appendices

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

G. Statement of History of Grants

Please complete the enclosed form with this heading.

H. Reviewers

On the List of Suggested Reviewers form, applicants are asked to provide the names and addresses of eight disinterested persons who can provide impartial evaluations of the proposal's merits. They should be either experts in the particular area of the application or on the proposed methodology, or they can be scholars whose reputation and broad knowledge lend weight to their judgments. Applicants should not discuss their proposals with any of the individuals listed as potential reviewers.

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

V.   FORMAL SUBMISSION

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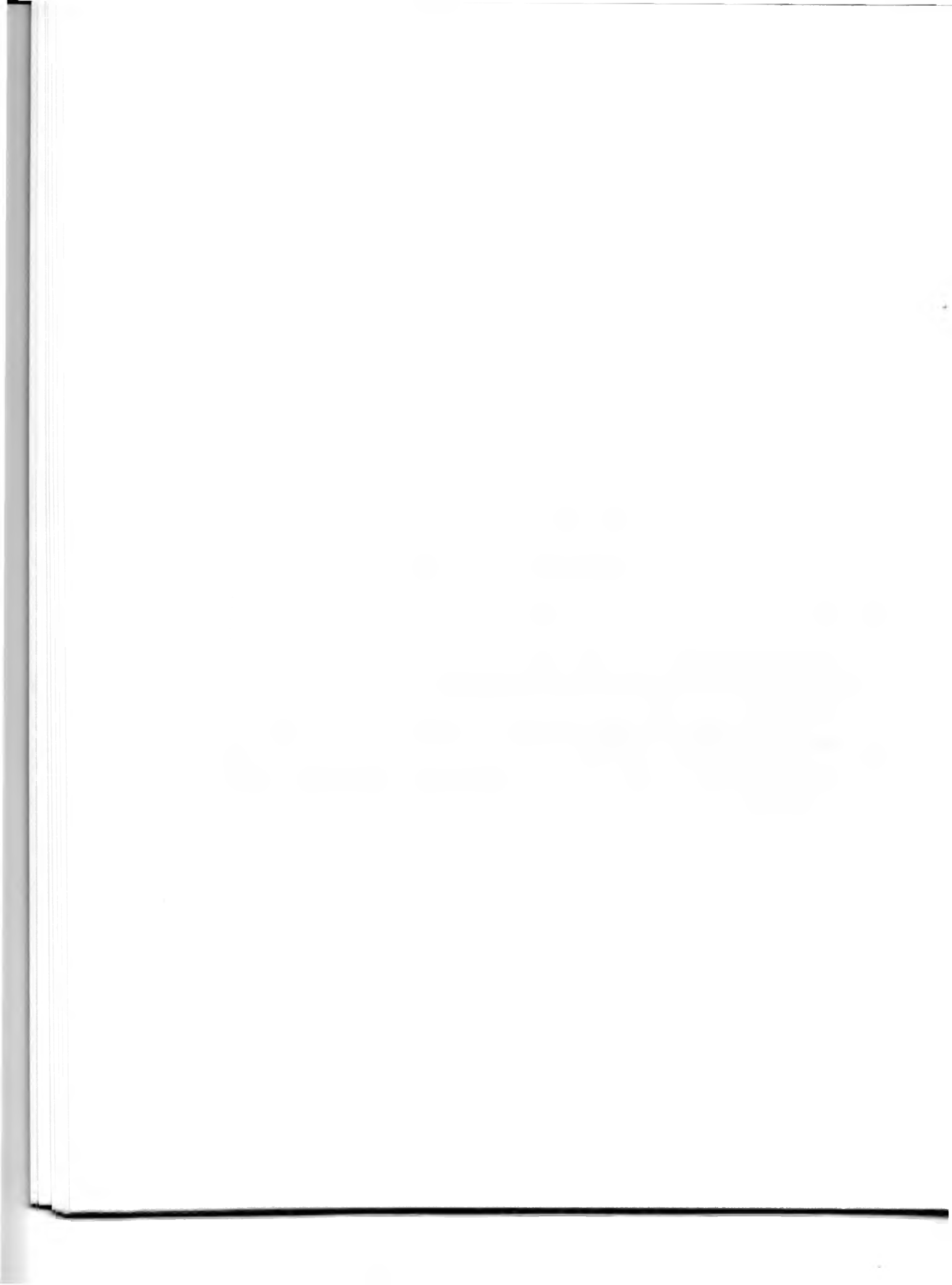
1. Cover Sheet

2. Table of Contents

3. Statement of Significance and Impact of Project

4. Narrative Description

5. Project Budget

6. Appendices (including résumés)

7. Statement of History of Grants

8. List of Suggested Reviewers

Applicants should submit nineteen copies of the application, including one copy with the original, signed cover sheet, along with three extra copies of the cover sheet. The complete application package should be mailed to:

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

VI. DEADLINE

The complete application package must be postmarked no later than June 1. 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 nine 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

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 52 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 (3136-0119), Washington, D.C. 20503.

Block 1--Individual Applicant or Project Director

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

Item b. In the space provided, enter the number corresponding to the applicant's or 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 applicant.

Item d. Enter the applicant's or 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. If possible, indicate the code for the appropriate major field from the list of Field of Project Categories and Codes on the reverse side of the Application Cover Sheet.

Block 2--Type of Applicant

Check either (a) or (b).

Only an applicant applying as an unaffiliated individual
should check the "individual" box. A project director
affiliated with an institution must apply through that
institution if the project will make use of the institution's
resources, for example, the library, computer center, office
space, clerical assistance, etc. If the project does not use
such resources, the project director may apply as an
individual; but in such cases the Endowment must receive a
statement from the institution indicating awareness of the
project director's submission of an application.

For those who checked (a) ONLY: Please indicate an
institutional affiliation, if applicable, in Block 11a.

For those who checked (b) ONLY: Identify Type such as:
business, religious, museum, historical society, government
(state, local, etc.), public media (TV, radio, newspaper,
etc.), educational (elementary/secondary, school district,
2-year college, 4-year college, etc.), library (public,
research, etc.), center (advanced study, research, etc.).
Identify Status as either Private Nonprofit or Unit of State or
Local Government. Example: Type: Historical Society. 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--application for funding a new grant period
for a project previously funded by NEH.

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 guidelines of the Division of Research Programs, 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. Project activities need not begin on the first day, but all project activities must take place within the requested grant period.

Block 6--Project Funding

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

Block 7--Field of Project

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

Block 8--Descriptive Title of Project

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

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

Block 9--Description of Project

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

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

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

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

Block 11--Institutional Data

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

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

Item c. Indicate here the name, mailing address, form of
address (see instructions for 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 and 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 Debt 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

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/Editions [ ]

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.

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

_____
(signature, person named in Block 1)

_____
(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 ld 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   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

Editions Category

Statement of Significance and Impact of Project

BUDGET INSTRUCTIONS

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

Requested Grant Period

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

Project Costs

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

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

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

Fringe Benefits

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

Travel Costs

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

Equipment

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

Indirect Costs (Overhead)

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

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

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

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

SAMPLE BUDGET COMPUTATIONS

			NEH Funds (a)	Cost Sharing (b)	Total (c)
Salaries and Wages					
Jane Doe/Project Director	[ ]	9 months x 100% @ $27,000/academic yr.	$13,500	$13,500	$27,000
Jane Doe	[ ]	1 summer month x 100% @ $3,000	3,000		3,000
John Smith/Research Assistant	[ ]	6 months x 50% @ $25,000/yr.	6,250		6,250
Secretarial Support	[1]	3 months x 100% @ $14,000/yr.	3,500		3,500
Fringe Benefits					
11 % of $36,250			2,503	1,485	3,988
8 % of $ 3,500			280		280

Travel	no. of persons	total travel days	subsistence costs	+ transport. costs =			
New York City/Chicago	[2]	[4]	$300	$430	730		730
Various/Washington D.C. conf.	[5]	[10]	$750	500	1,250		1,250

			NEH Funds	Cost Sharing	Total
Consultant Fees					
Serbo-Croatian Specialist	5	$100	500		500
Services					
Long Distance Telephone	est. 40 toll calls @ $3.00		120		120
Conference Brochure	50 copies @ $3.50/copy		175		175
TOTAL DIRECT COSTS			$31,808	$14,985	$46,793
Indirect Costs					
20% of $46,793			$ 6,362	$ 2,997	$ 9,359
TOTAL PROJECT COSTS (Direct and Indirect)			$38,170	$17,982	$56,152

National Endowment for the Humanities
BUDGET FORM

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

The three-column budget has been developed for the convenience of those applicants who wish to identify the project costs that will be charged to NEH funds and those that will be cost shared. FOR NEH PURPOSES, THE ONLY COLUMN THAT NEEDS TO BE COMPLETED IS COLUMN C. The method of cost computation should clearly indicate how the total charge for each budget item was determined. If more space is needed for any budget category, please follow the budget format on a separate sheet of paper.

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

SECTION A — budget detail for the period from _____ to _____
                                          mo/yr   mo/yr

1. Salaries and Wages

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

name/title of position	no.	method of cost computation (see sample)	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____	[ ]	_____	$_____	$_____	$_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

2. Fringe Benefits

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

rate		salary base	(a)	(b)	(c)
_____ %	of	$_____	$_____	$_____	$_____
_____ %	of	$_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

3. Consultant Fees

Include payments for professional and technical consultants and honoraria.

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

4. Travel

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

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

5. Supplies and Materials

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

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

6. Services

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

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

7. Other Costs

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

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

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

$_____ $_____ $_____

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

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

☐ Current indirect cost rate(s) has/have been negotiated with a federal agency. (Complete items A and B.)

☐ Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item A and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item B.)

☐ Indirect cost proposal will be sent to NEH if application is funded. (Provide an estimate in item B of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)

☐ Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of $5,000. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or $5,000, whichever sum is less.)

A. _____   _____
   name of federal agency   date of agreement

B.

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

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

$_____ $_____ $_____

SECTION B — Summary Budget and Project Funding

SUMMARY BUDGET

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

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

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

Requested from NEH:[1]

Outright	$_____
Federal Matching	$_____
TOTAL NEH FUNDING	$_____

Cost Sharing:[2]

Cash Contributions	$_____
In-Kind Contributions	$_____
Project Income	$_____
TOTAL COST SHARING	$_____

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

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

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

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

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

[3]Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator

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

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

_____   Date _____
Signature

NEH Application/Grant Number: _____

LIST OF SUGGESTED REVIEWERS

Please list the names and addresses of <u>eight</u> potential reviewers.

1)   Name:_____
  Institution:_____
     Address:_____
             _____
             _____

2)   Name:_____
  Institution:_____
     Address:_____
              _____
             _____

3)   Name:_____
  Institution:_____
     Address:_____
              _____
             _____

4)   Name:_____
  Institution:_____
     Address:_____
              _____
             _____

5)   Name: _____

   Institution: _____

      Address: _____

                    _____

                    _____

6)   Name: _____

   Institution: _____

      Address: _____

                    _____

                    _____

7)   Name: _____

   Institution: _____

      Address: _____

                    _____

                    _____

8)   Name: _____

   Institution: _____

      Address: _____

                    _____

                    _____

Statement of History of Grants

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

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 and cost-sharing contributions 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 the 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.

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 control over the expenditure of these funds is 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.
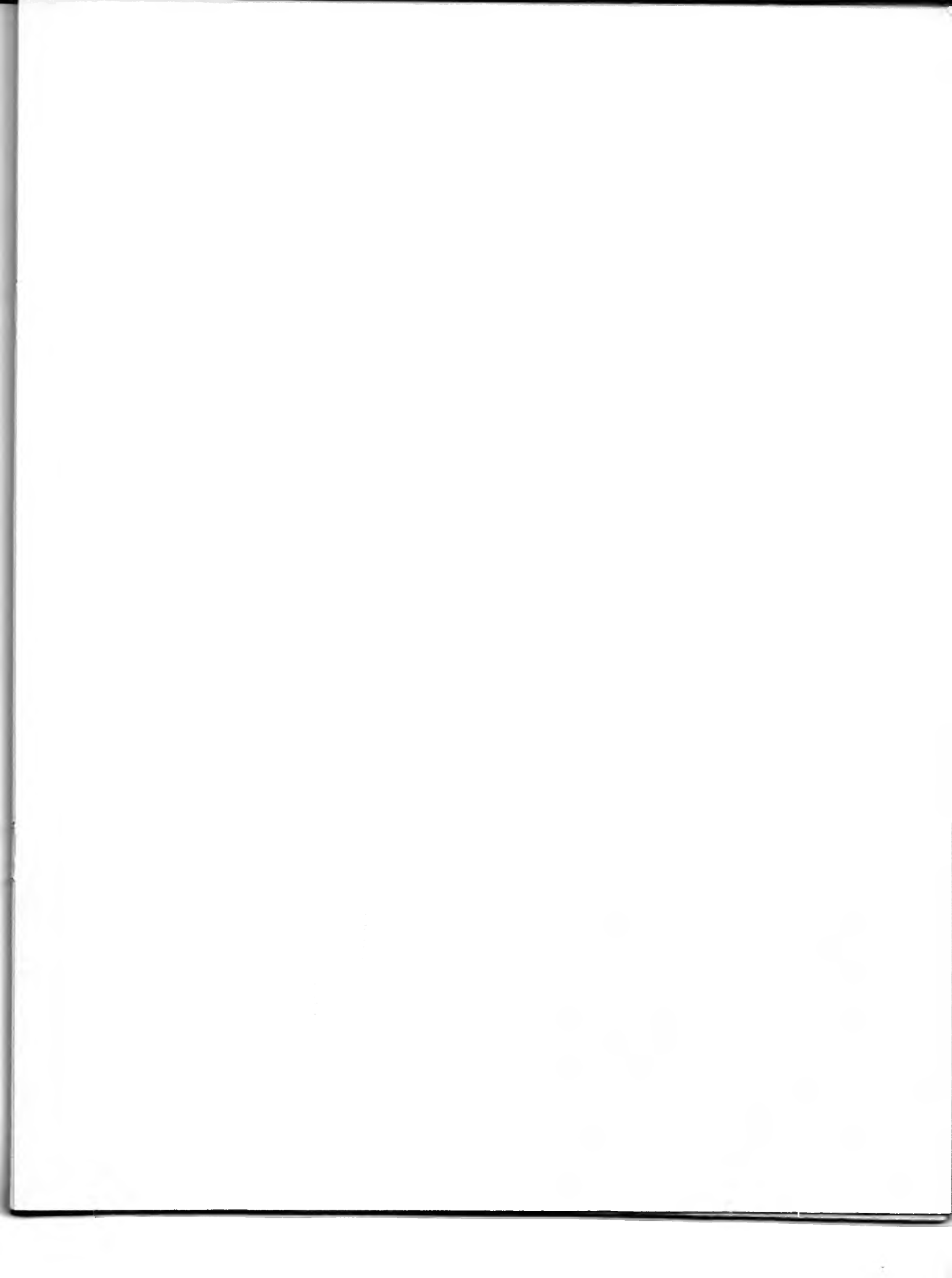
Equal Opportunity

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.

R89-4