



National
Endowment
for the
Humanities

Division
of
Research
Programs

Application
Instructions
and Forms

Interpretive Research

Projects

TABLE OF CONTENTS

INTRODUCTION.....	1
I. TYPES OF PROJECTS.....	2
II. ELIGIBLE APPLICANTS.....	2
III. COMPLEMENTARY PROGRAMS.....	3
IV. PRELIMINARY PROPOSAL.....	3
V. THE APPLICATION.....	3
A. Cover Sheet.....	3
B. Statement of Significance and Impact of Project.....	3
C. Table of Contents.....	4
D. Narrative Description.....	4
1. Nature and Significance of the Project.....	4
2. History and Duration of the Project.....	4
3. Project Staff.....	4
4. Project Methodology.....	5
5. Work Plan.....	5
6. Final Product and Dissemination.....	5
7. Computer Use.....	6
E. Project Budget.....	6
1. Types of Grant Support.....	6
2. Cost Sharing.....	7
3. Grant Period.....	7
F. Appendices.....	7
G. Statement of History of Grants.....	7
H. Reviewers.....	7
VI. ARCHAEOLOGY PROJECTS.....	8
A. Excavation Projects.....	8
1. Surveys.....	8
2. Foreign Excavation Projects.....	8
3. Excavation Projects in the United States.....	9
4. Reports.....	9
5. Conservation.....	9
6. Use of Students.....	9
B. Prepublication Research.....	9
C. Materials Analysis.....	10
D. Historic Preservation.....	10
VII. FORMAL SUBMISSION.....	11
VIII. DEADLINE.....	11
IX. ATTACHMENTS	
A. Cover Sheet	
B. Budget Forms and Instructions	
C. List of Suggested Reviewers	
D. Statement of History of Grants	
E. Statement of Significance and Impact of Project	
F. Grantee Responsibilities	
G. Eligible Gifts and Donors	

TABLE OF CONTENTS

1	INTRODUCTION	1
2	1.1 PURPOSE OF STUDY	2
3	1.2 SCOPE OF STUDY	3
4	1.3 LIMITATIONS OF STUDY	4
5	1.4 DEFINITION OF TERMS	5
6	1.5 ORGANIZATION OF STUDY	6
7	2. LITERATURE REVIEW	7
8	2.1 GENERAL LITERATURE	7
9	2.2 SPECIFIC LITERATURE	8
10	2.3 SUMMARY OF LITERATURE	9
11	3. RESEARCH DESIGN	10
12	3.1 RESEARCH QUESTIONS	10
13	3.2 RESEARCH METHODS	11
14	3.3 RESEARCH INSTRUMENTS	12
15	3.4 RESEARCH PROCEDURES	13
16	3.5 RESEARCH LIMITATIONS	14
17	4. DATA COLLECTION	15
18	4.1 DATA SOURCES	15
19	4.2 DATA COLLECTION METHODS	16
20	4.3 DATA COLLECTION PROCEDURES	17
21	4.4 DATA COLLECTION LIMITATIONS	18
22	5. DATA ANALYSIS	19
23	5.1 ANALYSIS METHODS	19
24	5.2 ANALYSIS PROCEDURES	20
25	5.3 ANALYSIS LIMITATIONS	21
26	6. RESULTS	22
27	6.1 RESEARCH QUESTIONS	22
28	6.2 RESEARCH METHODS	23
29	6.3 RESEARCH INSTRUMENTS	24
30	6.4 RESEARCH PROCEDURES	25
31	6.5 RESEARCH LIMITATIONS	26
32	7. CONCLUSIONS	27
33	7.1 RESEARCH QUESTIONS	27
34	7.2 RESEARCH METHODS	28
35	7.3 RESEARCH INSTRUMENTS	29
36	7.4 RESEARCH PROCEDURES	30
37	7.5 RESEARCH LIMITATIONS	31
38	8. REFERENCES	32
39	9. APPENDICES	33
40	9.1 APPENDIX A	33
41	9.2 APPENDIX B	34
42	9.3 APPENDIX C	35
43	9.4 APPENDIX D	36
44	9.5 APPENDIX E	37
45	9.6 APPENDIX F	38
46	9.7 APPENDIX G	39
47	9.8 APPENDIX H	40
48	9.9 APPENDIX I	41
49	9.10 APPENDIX J	42
50	9.11 APPENDIX K	43
51	9.12 APPENDIX L	44
52	9.13 APPENDIX M	45
53	9.14 APPENDIX N	46
54	9.15 APPENDIX O	47
55	9.16 APPENDIX P	48
56	9.17 APPENDIX Q	49
57	9.18 APPENDIX R	50
58	9.19 APPENDIX S	51
59	9.20 APPENDIX T	52
60	9.21 APPENDIX U	53
61	9.22 APPENDIX V	54
62	9.23 APPENDIX W	55
63	9.24 APPENDIX X	56
64	9.25 APPENDIX Y	57
65	9.26 APPENDIX Z	58
66	9.27 APPENDIX AA	59
67	9.28 APPENDIX AB	60
68	9.29 APPENDIX AC	61
69	9.30 APPENDIX AD	62
70	9.31 APPENDIX AE	63
71	9.32 APPENDIX AF	64
72	9.33 APPENDIX AG	65
73	9.34 APPENDIX AH	66
74	9.35 APPENDIX AI	67
75	9.36 APPENDIX AJ	68
76	9.37 APPENDIX AK	69
77	9.38 APPENDIX AL	70
78	9.39 APPENDIX AM	71
79	9.40 APPENDIX AN	72
80	9.41 APPENDIX AO	73
81	9.42 APPENDIX AP	74
82	9.43 APPENDIX AQ	75
83	9.44 APPENDIX AR	76
84	9.45 APPENDIX AS	77
85	9.46 APPENDIX AT	78
86	9.47 APPENDIX AU	79
87	9.48 APPENDIX AV	80
88	9.49 APPENDIX AW	81
89	9.50 APPENDIX AX	82
90	9.51 APPENDIX AY	83
91	9.52 APPENDIX AZ	84
92	9.53 APPENDIX BA	85
93	9.54 APPENDIX BB	86
94	9.55 APPENDIX BC	87
95	9.56 APPENDIX BD	88
96	9.57 APPENDIX BE	89
97	9.58 APPENDIX BF	90
98	9.59 APPENDIX BG	91
99	9.60 APPENDIX BH	92
100	9.61 APPENDIX BI	93
101	9.62 APPENDIX BJ	94
102	9.63 APPENDIX BK	95
103	9.64 APPENDIX BL	96
104	9.65 APPENDIX BM	97
105	9.66 APPENDIX BN	98
106	9.67 APPENDIX BO	99
107	9.68 APPENDIX BP	100
108	9.69 APPENDIX BQ	101
109	9.70 APPENDIX BR	102
110	9.71 APPENDIX BS	103
111	9.72 APPENDIX BT	104
112	9.73 APPENDIX BU	105
113	9.74 APPENDIX BV	106
114	9.75 APPENDIX BW	107
115	9.76 APPENDIX BX	108
116	9.77 APPENDIX BY	109
117	9.78 APPENDIX BZ	110
118	9.79 APPENDIX CA	111
119	9.80 APPENDIX CB	112
120	9.81 APPENDIX CC	113
121	9.82 APPENDIX CD	114
122	9.83 APPENDIX CE	115
123	9.84 APPENDIX CF	116
124	9.85 APPENDIX CG	117
125	9.86 APPENDIX CH	118
126	9.87 APPENDIX CI	119
127	9.88 APPENDIX CJ	120
128	9.89 APPENDIX CK	121
129	9.90 APPENDIX CL	122
130	9.91 APPENDIX CM	123
131	9.92 APPENDIX CN	124
132	9.93 APPENDIX CO	125
133	9.94 APPENDIX CP	126
134	9.95 APPENDIX CQ	127
135	9.96 APPENDIX CR	128
136	9.97 APPENDIX CS	129
137	9.98 APPENDIX CT	130
138	9.99 APPENDIX CU	131
139	9.100 APPENDIX CV	132
140	9.101 APPENDIX CW	133
141	9.102 APPENDIX CX	134
142	9.103 APPENDIX CY	135
143	9.104 APPENDIX CZ	136
144	9.105 APPENDIX DA	137
145	9.106 APPENDIX DB	138
146	9.107 APPENDIX DC	139
147	9.108 APPENDIX DD	140
148	9.109 APPENDIX DE	141
149	9.110 APPENDIX DF	142
150	9.111 APPENDIX DG	143
151	9.112 APPENDIX DH	144
152	9.113 APPENDIX DI	145
153	9.114 APPENDIX DJ	146
154	9.115 APPENDIX DK	147
155	9.116 APPENDIX DL	148
156	9.117 APPENDIX DM	149
157	9.118 APPENDIX DN	150
158	9.119 APPENDIX DO	151
159	9.120 APPENDIX DP	152
160	9.121 APPENDIX DQ	153
161	9.122 APPENDIX DR	154
162	9.123 APPENDIX DS	155
163	9.124 APPENDIX DT	156
164	9.125 APPENDIX DU	157
165	9.126 APPENDIX DV	158
166	9.127 APPENDIX DW	159
167	9.128 APPENDIX DX	160
168	9.129 APPENDIX DY	161
169	9.130 APPENDIX DZ	162
170	9.131 APPENDIX EA	163
171	9.132 APPENDIX EB	164
172	9.133 APPENDIX EC	165
173	9.134 APPENDIX ED	166
174	9.135 APPENDIX EE	167
175	9.136 APPENDIX EF	168
176	9.137 APPENDIX EG	169
177	9.138 APPENDIX EH	170
178	9.139 APPENDIX EI	171
179	9.140 APPENDIX EJ	172
180	9.141 APPENDIX EK	173
181	9.142 APPENDIX EL	174
182	9.143 APPENDIX EM	175
183	9.144 APPENDIX EN	176
184	9.145 APPENDIX EO	177
185	9.146 APPENDIX EP	178
186	9.147 APPENDIX EQ	179
187	9.148 APPENDIX ER	180
188	9.149 APPENDIX ES	181
189	9.150 APPENDIX ET	182
190	9.151 APPENDIX EU	183
191	9.152 APPENDIX EV	184
192	9.153 APPENDIX EW	185
193	9.154 APPENDIX EX	186
194	9.155 APPENDIX EY	187
195	9.156 APPENDIX EZ	188
196	9.157 APPENDIX FA	189
197	9.158 APPENDIX FB	190
198	9.159 APPENDIX FC	191
199	9.160 APPENDIX FD	192
200	9.161 APPENDIX FE	193
201	9.162 APPENDIX FF	194
202	9.163 APPENDIX FG	195
203	9.164 APPENDIX FH	196
204	9.165 APPENDIX FI	197
205	9.166 APPENDIX FJ	198
206	9.167 APPENDIX FK	199
207	9.168 APPENDIX FL	200
208	9.169 APPENDIX FM	201
209	9.170 APPENDIX FN	202
210	9.171 APPENDIX FO	203
211	9.172 APPENDIX FP	204
212	9.173 APPENDIX FQ	205
213	9.174 APPENDIX FR	206
214	9.175 APPENDIX FS	207
215	9.176 APPENDIX FT	208
216	9.177 APPENDIX FU	209
217	9.178 APPENDIX FV	210
218	9.179 APPENDIX FW	211
219	9.180 APPENDIX FX	212
220	9.181 APPENDIX FY	213
221	9.182 APPENDIX FZ	214
222	9.183 APPENDIX GA	215
223	9.184 APPENDIX GB	216
224	9.185 APPENDIX GC	217
225	9.186 APPENDIX GD	218
226	9.187 APPENDIX GE	219
227	9.188 APPENDIX GF	220
228	9.189 APPENDIX GG	221
229	9.190 APPENDIX GH	222
230	9.191 APPENDIX GI	223
231	9.192 APPENDIX GJ	224
232	9.193 APPENDIX GK	225
233	9.194 APPENDIX GL	226
234	9.195 APPENDIX GM	227
235	9.196 APPENDIX GN	228
236	9.197 APPENDIX GO	229
237	9.198 APPENDIX GP	230
238	9.199 APPENDIX GQ	231
239	9.200 APPENDIX GR	232
240	9.201 APPENDIX GS	233
241	9.202 APPENDIX GT	234
242	9.203 APPENDIX GU	235
243	9.204 APPENDIX GV	236
244	9.205 APPENDIX GW	237
245	9.206 APPENDIX GX	238
246	9.207 APPENDIX GY	239
247	9.208 APPENDIX GZ	240
248	9.209 APPENDIX HA	241
249	9.210 APPENDIX HB	242
250	9.211 APPENDIX HC	243
251	9.212 APPENDIX HD	244
252	9.213 APPENDIX HE	245
253	9.214 APPENDIX HF	246
254	9.215 APPENDIX HG	247
255	9.216 APPENDIX HH	248
256	9.217 APPENDIX HI	249
257	9.218 APPENDIX HJ	250
258	9.219 APPENDIX HK	251
259	9.220 APPENDIX HL	252
260	9.221 APPENDIX HM	253
261	9.222 APPENDIX HN	254
262	9.223 APPENDIX HO	255
263	9.224 APPENDIX HP	256
264	9.225 APPENDIX HQ	257
265	9.226 APPENDIX HR	258
266	9.227 APPENDIX HS	259
267	9.228 APPENDIX HT	260
268	9.229 APPENDIX HU	261
269	9.230 APPENDIX HV	262
270	9.231 APPENDIX HW	263
271	9.232 APPENDIX HX	264
272	9.233 APPENDIX HY	265
273	9.234 APPENDIX HZ	266
274	9.235 APPENDIX IA	267
275	9.236 APPENDIX IB	268
276	9.237 APPENDIX IC	269
277	9.238 APPENDIX ID	270
278	9.239 APPENDIX IE	271
279	9.240 APPENDIX IF	272
280	9.241 APPENDIX IG	273
281	9.242 APPENDIX IH	274
282	9.243 APPENDIX II	275
283	9.244 APPENDIX IJ	276
284	9.245 APPENDIX IK	277
285	9.246 APPENDIX IL	278
286	9.247 APPENDIX IM	279
287	9.248 APPENDIX IN	280
288	9.249 APPENDIX IO	281
289	9.250 APPENDIX IP	282
290	9.251 APPENDIX IQ	283
291	9.252 APPENDIX IR	284
292	9.253 APPENDIX IS	285
293	9.254 APPENDIX IT	286
294	9.255 APPENDIX IU	287
295	9.256 APPENDIX IV	288
296	9.257 APPENDIX IW	289
297	9.258 APPENDIX IX	290
298	9.259 APPENDIX IY	291
299	9.260 APPENDIX IZ	292
300	9.261 APPENDIX JA	293
301	9.262 APPENDIX JB	294
302	9.263 APPENDIX JC	295
303	9.264 APPENDIX JD	296
304	9.265 APPENDIX JE	297
305	9.266 APPENDIX JF	298
306	9.267 APPENDIX JG	299
307	9.268 APPENDIX JH	300
308	9.269 APPENDIX JI	301
309	9.270 APPENDIX JJ	302
310	9.271 APPENDIX JK	303
311	9.272 APPENDIX JL	304
312	9.273 APPENDIX JM	305
313	9.274 APPENDIX JN	306
314	9.275 APPENDIX JO	307
315	9.276 APPENDIX JP	308
316	9.277 APPENDIX JQ	309
317	9.278 APPENDIX JR	310
318	9.279 APPENDIX JS	311
319	9.280 APPENDIX JT	312
320	9.281 APPENDIX JU	313
321	9.282 APPENDIX JV	314
322	9.283 APPENDIX JW	315
323	9.284 APPENDIX JX	316
324	9.285 APPENDIX JY	317
325	9.286 APPENDIX JZ	318
326	9.287 APPENDIX KA	319
327	9.288 APPENDIX KB	320
328	9.289 APPENDIX KC	321
329	9.290 APPENDIX KD	322
330	9.291 APPENDIX KE	323
331	9.292 APPENDIX KF	324
332	9.293 APPENDIX KG	325
333	9.294 APPENDIX KH	326
334	9.295 APPENDIX KI	327
335	9.296 APPENDIX KJ	328
336	9.297 APPENDIX KK	329
337	9.298 APPENDIX KL	330
338	9.299 APPENDIX KM	331
339	9.300 APPENDIX KN	332
340	9.301 APPENDIX KO	333
341	9.302 APPENDIX KP	334
342	9.303 APPENDIX KQ	335
343	9.304 APPENDIX KR	336
344	9.305 APPENDIX KS	337
345	9.306 APPENDIX KT	338
346	9.307 APPENDIX KU	339
347	9.308 APPENDIX KV	340
348	9.309 APPENDIX KW	341
349	9.310 APPENDIX KX	342
350	9.311 APPENDIX KY	343
351	9.312 APPENDIX KZ	344
352	9.313 APPENDIX LA	345
353	9.314 APPENDIX LB	346
354	9.315 APPENDIX LC	347
355	9.316 APPENDIX LD	348
356	9.317 APPENDIX LE	349
357	9.318 APPENDIX LF	350
358	9.319 APPENDIX LG	351
359	9.320 APPENDIX LH	352
360	9.321 APPENDIX LI	353
361	9.322 APPENDIX LJ	354
362	9.323 APPENDIX LK	355
363	9.324 APPENDIX LL	356
364	9.325 APPENDIX LM	357
365	9.326 APPENDIX LN	358
366	9.327 APPENDIX LO	359
367	9.328 APPENDIX LP	360
368	9.329 APPENDIX LQ	361
369	9.330 APPENDIX LR	362
370	9.331 APPENDIX LS	363
371	9.332 APPENDIX LT	364
372	9.333 APPENDIX LU	365

INTRODUCTION

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

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

I. TYPES OF PROJECTS

Grants in the Projects category support coordinated or collaborative research that will be important for humanities scholarship. Projects supported in this category include biographies; historical and analytical studies in literature and the arts; research in history, philosophy, and other humanities disciplines; focused interdisciplinary studies; humanities research in political science, sociology, and cultural anthropology; and other major collaborative or cooperative undertakings. Projects, both interdisciplinary and within single disciplines, that aim for more integrated approaches to understanding the humanities are particularly encouraged. All projects are expected to lead to major publications.

In this category, the Endowment also supports archaeological projects that promise to strengthen scholarly knowledge and understanding of history and culture. Support is available for work concerning both foreign and American sites, including survey excavation, materials analysis, laboratory research, artifact preservation, and preparation of archaeological monographs. More detailed information for applicants interested in support for archaeology projects can be found in Section VI of these application instructions.

Support is also available for institutions that want to establish a research center or a similarly structured program for research on a single topic or a series of related topics in the humanities. Projects undertaken by such a center or program should lead to specific products, such as a series of essays or a series of monographs that would represent an important advance in the humanities discipline or disciplines involved.

II. ELIGIBLE APPLICANTS

Research projects that require coordinated or collaborative efforts involving various combinations of researchers and consultants, research assistants, and clerical or technical support personnel are eligible for support in the Projects category. With the exception of archaeology projects, all applications for support of individual study and research for periods of a year or less normally should be submitted to the Endowment's Division of Fellowships and Seminars. Archaeology projects, including art history and ethnohistory projects that rely primarily on the analysis of excavated materials, are eligible for support in the Division of Research Programs. All archaeology applications are reviewed in the Projects category. An applicant who is uncertain about which division of the Endowment is the most appropriate for a

particular project should confer with staff in either the Division of Research Programs or the Division of Fellowships and Seminars.

III. COMPLEMENTARY PROGRAMS

Applicants should be aware that certain research projects are eligible for Excess Currency (P.L. 480) funds. The American Institute of Indian Studies, 1130 East 59th Street, Chicago, Illinois 60637, considers applications for research in India. This is an annual competition with a deadline of July 1; requests for applications must be made in writing. The Special Foreign Currency Program of the Smithsonian Institution, 1100 Jefferson Drive, S.W., Washington, D.C. 20560, considers applications for research in India, Burma, and Poland.

IV. PRELIMINARY PROPOSAL

Applicants are strongly urged 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.

V. THE APPLICATION

The application should consist of eight parts: a cover sheet, a statement of significance and impact of the project, a table of contents, a narrative description of the project, a budget, appendices (including résumés), a statement of the history of grants received for this project, and a list of qualified reviewers. Forms for the cover sheet, significance and impact of project, budget, list of reviewers, and history of grants are enclosed. Proposal narratives should be limited to twenty-five or fewer double-spaced pages.

A. Cover Sheet

Instructions for completing the NEH Application Cover Sheet accompany the enclosed form.

B. Statement of Significance and Impact of Project

Applicants should provide this information on the enclosed sheet with this heading. This section should contain a carefully prepared summary of the project's purpose and expected results and

should present a well-considered statement of the project's significance. Consideration of significance includes the intellectual justification of the project, the importance to scholarship in the humanities, the breadth of its conceptualization, the diversity and size of the intended audience, and the relationship of its topics to larger issues or themes in the humanities.

C. Table of Contents

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

D. Narrative Description

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

1. Nature and Significance of the Project

This section should provide a concise explanation of the distinguishing characteristics of the research project. Applicants should describe the scope of the research, the source materials, and the relationship of the research to other published and unpublished work in the field. Applicants are particularly urged to describe what audiences will benefit from the research and to identify the project's broader significance and the relevance of the research to the general public.

For archaeology applications for prepublication analysis and write-up, a case should be made for the importance of the publications for a larger readership as well as for specialists. Applicants for archaeology excavation support should mention, if appropriate, the urgency of the proposed excavation for reasons of imminent destruction or deterioration of the site.

2. History and Duration of the Project

Applicants should explain the preliminary research or planning that has been conducted for the project, the kinds 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 about the work that will remain to be accomplished and the probable sources of support for that work.

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. These résumés

should be specially designed to show, in a condensed form, the participants' qualifications to carry out the particular project or projects proposed in the application.

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 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 application is for the establishment of a research center, the proposal should describe the criteria and procedures that will be used to select any visiting scholars. The names and institutional affiliations of all members of advisory boards and selection committees should be specified. The proposal should also discuss the duties of these groups.

4. Project Methodology

This section should explain and justify the project's methodology. The applicant should state the central research questions clearly and should discuss any major difficulties likely to be encountered. The nature and location of the necessary source materials should also be described in detail, and the applicant's prospects of access to the pertinent collections of research materials should be indicated. A bibliography of relevant sources should be provided.

5. Work Plan

Applicants should provide a detailed description of the proposed organization and implementation of the project. Applicants must also provide a plan of work by six-month periods 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 in the project's various stages.

6. Final Product and Dissemination

All books or articles that will result from the project should be described, preferably in outline form. Any applicant who proposes to undertake a large project 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 research for dissemination. In the proposal, applicants must indicate if an agreement to publish has been reached. Any pertinent correspondence with a publisher (such as a letter of interest) should be included in an appendix.

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 about 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.

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 also may 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. The Endowment will support survey and excavation projects with outright funds of up to \$10,000 per year; additional support is available only through federal matching funds. In no case will NEH support for archaeological excavation or survey projects exceed 50 percent of total project costs. For example, if the cost of a one-year excavation project will be \$50,000, the applicant may not request more than \$25,000 in total support from the Endowment (\$10,000 maximum in outright funds and the remainder in federal matching funds). Cost sharing in all renewal applications should be at least ten percentage points higher than in the original proposal.

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 selective résumés from project participants and letters of commitment from key 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 also will avoid soliciting reviews from individuals who are associated with other proposals that are pending in the Projects category.

VI. ARCHAEOLOGY PROJECTS

The following additional instructions are intended for applicants proposing archaeology projects of any kind.

A. Excavation Projects

1. Surveys

An applicant who proposes to initiate a major expedition should have completed preliminary survey work. If such a phase has been completed, the application should include, in an appendix, the survey report, plans, maps, and photographs. If a survey has not been made, applicants are advised to request an initial grant to fund a survey season. Regional surveys are considered to be useful and sometimes indispensable complements to site surveys.

2. Foreign Excavation Projects

Because foreign archaeology projects must obtain permits from the host country, contact with the appropriate authority must be established prior to an award. Sufficient evidence that the permits will be forthcoming should be included in an appendix to the application. Should a work permit be denied during the application process, the applicant must withdraw from the competition. If the permit is denied or revoked during the grant period, the grant will be suspended automatically. An applicant must inform the Endowment of any change regarding the issuance or denial of a permit.

3. Excavation Projects in the United States

Applicants interested in undertaking American archaeology projects should call or write the appropriate state historic preservation officer before consulting the Endowment in order to determine how the proposed research is related to other current state projects. The state historic preservation office will explain the procedure for nominating a site to the National Register of Historic Places and will discuss the availability of funds from other federal programs.

4. Reports

The communication of field reports from funded projects must keep pace with excavation work and related research. Full progress reports, including maps, stratigraphic plans, and photographs must be submitted at the end of a season. Ideally, multiyear projects will alternate periods of excavation with periods of analysis and publication. Preliminary reports should be disseminated to the field as widely as possible, particularly when delays are anticipated in the definitive publication of an excavation.

5. Conservation

Archaeologists have been increasingly concerned that adequate curatorial attention be given to artifacts recovered on excavations. Preservation of such material guarantees the possibility of future reexamination of established research conclusions. Curatorial costs to preserve essential evidence may be listed as a budget item, as may site stabilization costs.

6. Use of Students

The Endowment does not support projects designed primarily for the training of students. Therefore, travel and per diem costs for either graduate or undergraduate students may be included in the project budget only when their contribution to the project's research goals is fully justified in the project description and when course credit will not be given for participation in the project.

B. Prepublication Research

The Endowment is particularly interested in encouraging the preparation of archaeological monographs. Proposals for prepublication research may include some of the costs of preparing camera-ready copy and illustrations for offset printing when such a means of dissemination is appropriate. The Endowment will normally support up to 80 percent of the costs of preparing archaeological research for publication.

C. Materials Analysis

The Endowment also encourages projects that make use of recently developed techniques for materials analysis if such analysis is an integral part of a discrete project focusing on problems of research and interpretation in the humanities. The Endowment does not provide support for the establishment, research and development, or operating costs of technical programs (archaeometry, radiocarbon, paleobotany, or paleozoology). Proposals that focus exclusively on materials analysis should be submitted to the National Science Foundation.

D. Historic Preservation

The Advisory Council on Historic Preservation and the Archaeological Assistance Division, National Park Service, can both provide additional information about federal archaeological programs. Archaeological research, surveys, excavations, and the preservation of areas, sites, or buildings listed in the National Register are eligible for support on a matching basis under the National Historic Preservation Act of 1966. Funds for historic preservation, survey, acquisition, and rehabilitation may be available from the U.S. Department of Housing and Urban Development. For further information, applicants should call or write the Archaeological Assistance Division, National Park Service, Heritage Conservation and Recreation Service, U.S. Department of the Interior, Washington, D.C. 20240, or the Office of Community Planning and Development, U.S. Department of Housing and Urban Development, Washington, D.C. 20410. For assistance in matters involving the American Indian Religious Freedom Act, applicants should consult the Advisory Council on Historic Preservation's "Guidelines for Consideration of Traditional Cultural Values in Historic Preservation Review."

VII. FORMAL SUBMISSION

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

1. Cover Sheet
2. Statement of Significance and Impact of Project
3. Table of Contents
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. Applicants whose projects involve a significant computer component should submit twenty-four copies of the proposal (and the three extra copies of the cover sheet). The complete application package should be mailed to:

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

VIII. DEADLINE

The complete application package must be postmarked no later than October 1, 1988; the 1989 deadline will be October 15. 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.

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National Endowment for the Humanities

Washington, D.C.

The following pages include:

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

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

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

(1) The information is necessary for efficient consideration of the application during the review process and in the administration of the grant if an award is made.

(2) The information is *required of the Endowment* in various reports to Congress, other federal agencies, and the public. The Endowment must provide reports that involve statistical information or descriptions that can be obtained quickly from the cover sheet. Information is recorded in a computer, which stores the data for subsequent compilation and reporting.

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

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

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

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

INSTRUCTIONS FOR COMPLETING THE APPLICATION COVER SHEET

Block 1--Individual Applicant or Project Director

Item a. 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.

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.

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, a project director affiliated with an institution 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.

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."

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, 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

OMB No. 3136-0120
Expires 7/31/91

1. Individual applicant or project director

a. Name and mailing address

Name _____
(last) (first) (initial)

Address _____

(city) (state) (zip code)

b. Form of address: ☐

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

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

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

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

2. Type of applicant

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

3. Type of application

- a. ☐ new c. ☐ renewal
b. ☐ revision and resubmission d. ☐ supplement
If either c or d, indicate previous grant number:

4. Program to which application is being made

Interpretive Research/Projects ☐

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

Anthropology L1

Archaeology U6

Archival Management/Conservation I1

Arts, History and Criticism MA

Architecture: History & Criticism U3

Art: History and Criticism M1

Dance: History & Criticism M3

Film: History & Criticism M4

Music: History & Criticism M5

Theater: History & Criticism M2

Communications P2

Composition & Rhetoric P1

Journalism P4

Media P3

Education H1

Ethnic Studies K1

Asian American K5

Black/Afro-American K4

Hispanic American K3

Jewish K6

Native American K2

History A1

African A2

American A3

Ancient AC

British A4

Classical A5

European A6

Far Eastern A7

Latin American A8

Near Eastern A9

Russian AA

South Asian AB

Humanities U8

Interdisciplinary U1

African Studies GI

American Studies G3

Area Studies GH

Asian Studies G5

Classics G7

Folklore/Folklife R1

History/Philosophy of Science,
Technology or Medicine GA

International Studies GG

Labor Studies G4

Latin American Studies GJ

Medieval Studies G8

Regional Studies GF

Renaissance Studies G9

Rural Studies GC

Urban Studies G2

Western Civilization GB

Women's Studies G1

Languages C1

Ancient CC

Asian CA

Classical C2

Comparative C9

English CE

French C3

German C4

Italian C5

Latin American C6

Near Eastern CB

Slavic C7

Spanish C8

Law/Jurisprudence Q1

Library Science H3

Linguistics J1

Literature D1

African DK

American DE

Ancient DC

Asian DA

British DD

Classical D2

Comparative D9

French D3

German D4

Latin American D6

Literary Criticism DI

Near Eastern DB

Slavic D7

Spanish D8

Museum Studies/Historic Preservation 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

National Endowment for the Humanities
BUDGET INSTRUCTIONS

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

Requested Grant Period

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

Project Costs

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

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

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

Fringe Benefits

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

Travel Costs

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

Equipment

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

Indirect Costs (Overhead)

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

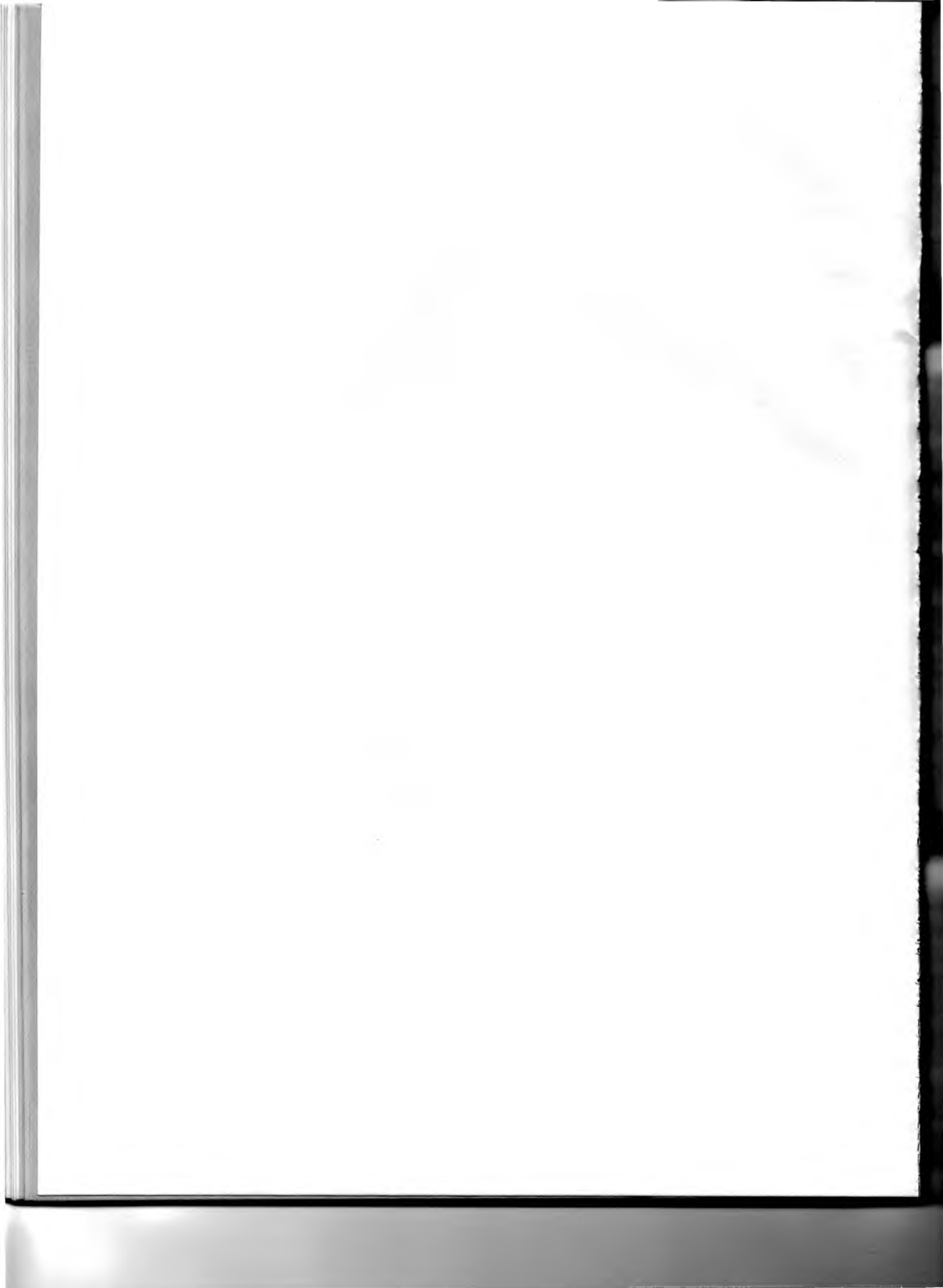
Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect cost rate or have not submitted a pending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

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

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

SAMPLE BUDGET COMPUTATIONS

				NEH Funds (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
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

OMB No. 3136-0120
Expires 7/31/91

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			\$ _____	\$ _____	\$ _____

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		\$ _____	\$ _____	\$ _____

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	\$	\$	\$

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	\$	\$	\$

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

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

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

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

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

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

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

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

Occasionally, in-kind (noncash) contributions 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.

³Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator

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

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

Signature Date _____

NEH Application/Grant Number: _____

LIST OF SUGGESTED REVIEWERS

1) Name: _____
 Institution: _____
 Address: _____

2) Name: _____
 Institution: _____
 Address: _____

3) Name: _____
 Institution: _____
 Address: _____

4) Name: _____
 Institution: _____
 Address: _____

OVER/

5) Name: _____
Institution: _____
Address: _____

6) Name: _____
Institution: _____
Address: _____

7) Name: _____
Institution: _____
Address: _____

8) Name: _____
Institution: _____
Address: _____

Statement of History of Grants

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

THE UNIVERSITY OF CHICAGO

THE UNIVERSITY OF CHICAGO
DIVISION OF THE PHYSICAL SCIENCES
DEPARTMENT OF CHEMISTRY
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CHICAGO, ILLINOIS 60607-7070
TEL: 773/936-5000 FAX: 773/936-5001
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Projects Category

Statement of Significance and Impact of Project

THE

AMERICAN



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 the gift funds and control over the expenditure of these funds are transferred to the applicant.

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

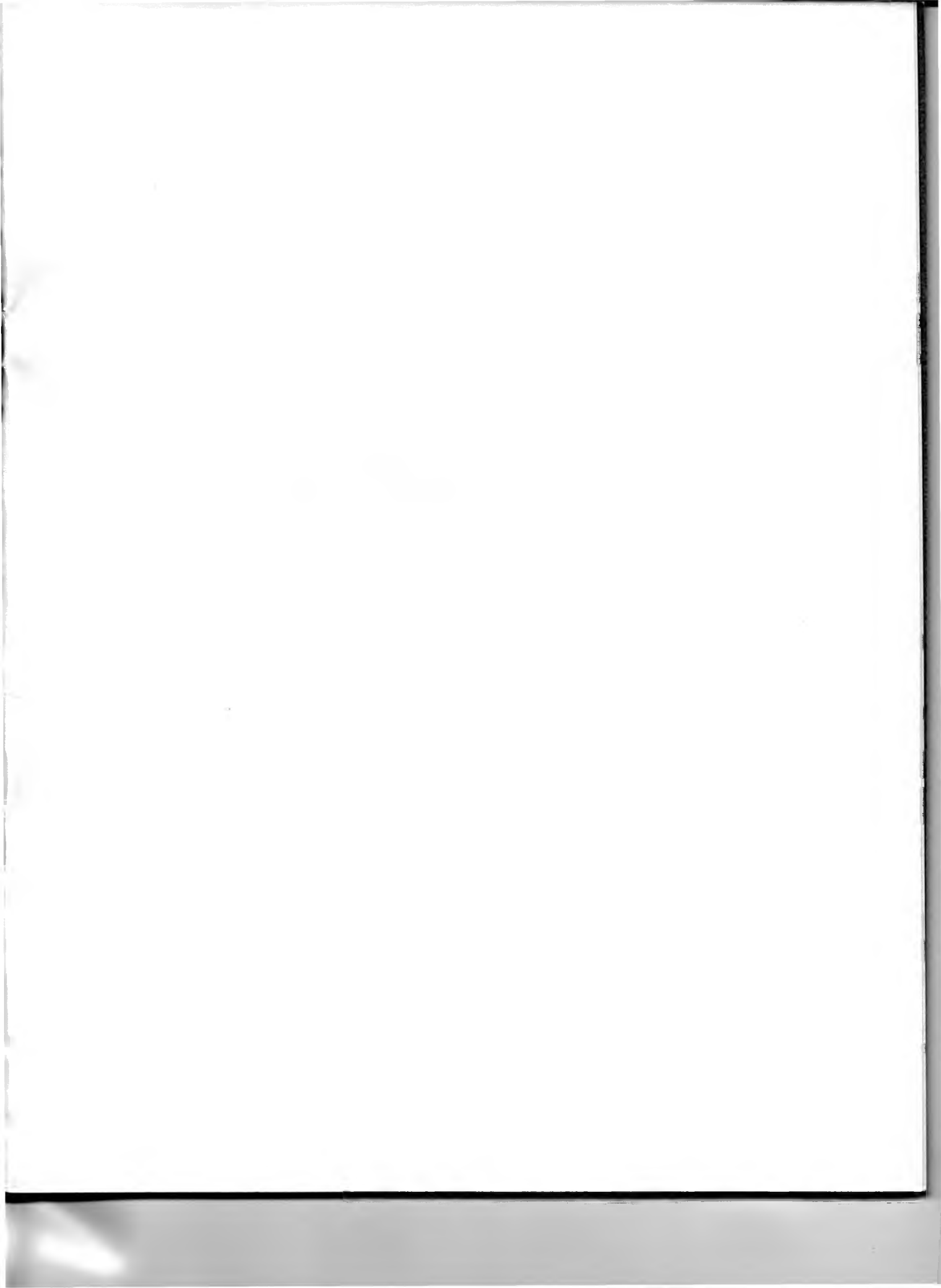
Ineligible donors include the applicant who will carry out the project and any institution or individual who is involved in project activities and who will receive some sort of remuneration from project funds. To avoid any possibility of conflict of interest, a gift should not be used to release federal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

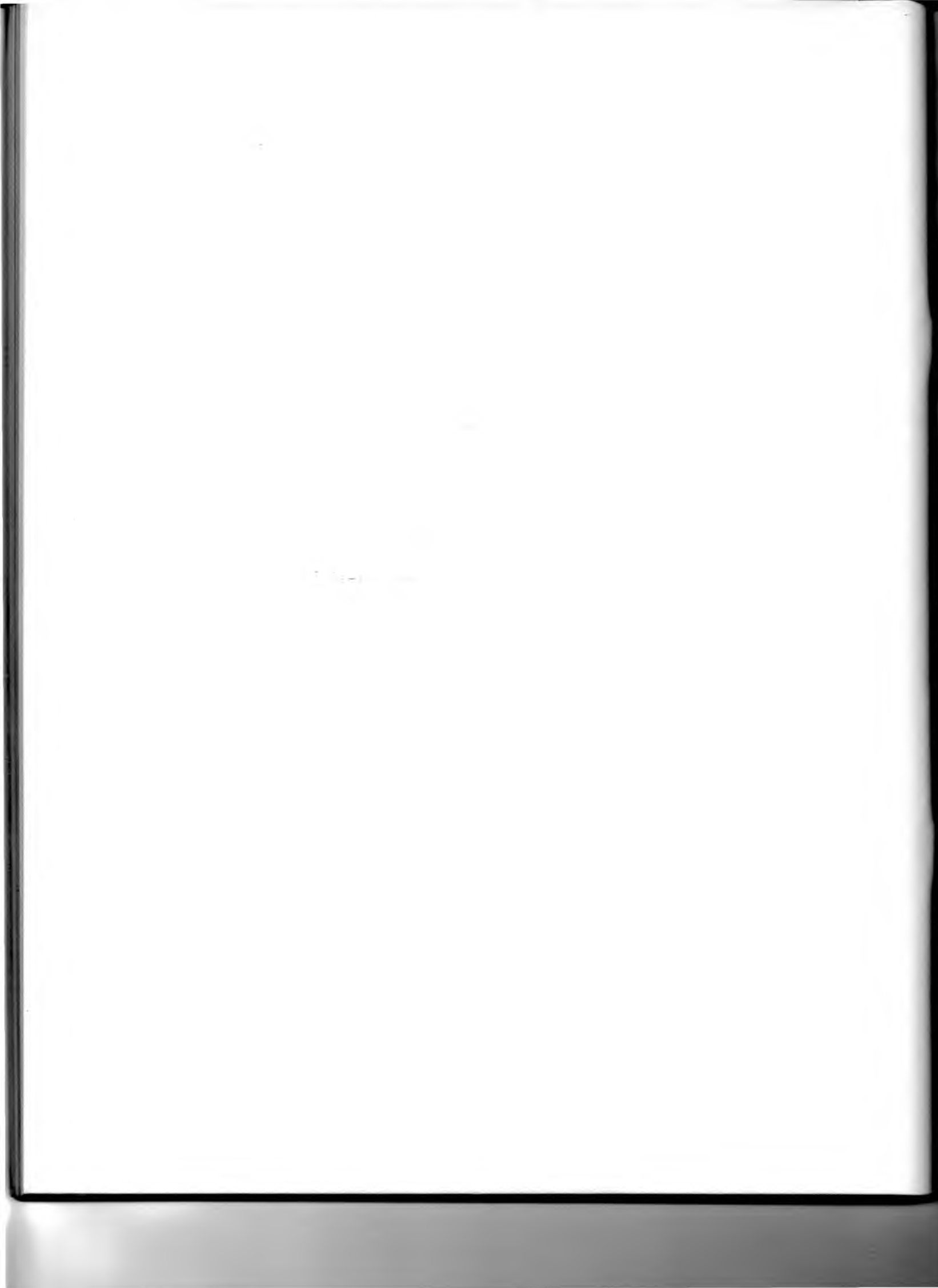
Equal Opportunity

The Code of Federal Regulations, Title 45, Part 1110, implements provisions of Title VI of the Civil Rights Act of 1964, and, along with Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, provides that the National Endowment for the Humanities is responsible for ensuring compliance with and enforcement of public laws prohibiting discrimination because of race, color, national origin, sex, handicap, and age in programs and activities receiving federal assistance from the National Endowment for the Humanities. Any person who believes he or she has been discriminated against in any program, activity, or facility receiving federal assistance from the Endowment should write immediately to the director, Office of Equal Opportunity, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.

Note:

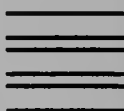
If a proposed project relates to American Indians, Aleuts, Eskimos, or native Hawaiian people and artifacts, an applicant should obtain from the Endowment a copy of its Code of Ethics concerning native Americans. The code establishes certain standards of conduct in research, publication, and public programs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





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

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