N E H

National
Endowment
for the
Humanities

Division
of
Research
Programs

Application
Instructions
and Forms

Texts

Translations

TABLE OF CONTENTS

I. TYPES OF PROJECTS

In the Translations category, the Endowment supports individual or collaborative projects to translate primary sources or interpretive works from any language into English. Eligible projects include translations of significant single works, the complete works of a writer or school (or a clearly defined segment of these works), and collections or anthologies. The category is particularly interested in the translation of works on the sources of culture and civilization. Applications for the retranslation of works that are already available in English are also encouraged if the need for a new version or the emendation of an existing version can be demonstrated.

Translations supported by the Endowment provide critical introductions and explanatory annotations that clearly establish the historical and intellectual contexts of the work involved.

II. PRELIMINARY PROPOSAL

Applicants are encouraged to submit a draft of the narrative and budget sections of the proposal at least six to eight weeks before the application deadline. An Endowment staff member will review the draft and offer advice regarding the proposal's eligibility, completeness, and competitiveness. The preliminary proposal gives 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.

III. 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, plus a five-page sample translation.

A. Cover Sheet

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

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 a well considered statement of the work's significance. Consideration of significance includes the importance of the work to scholarship in the humanities, the diversity and size of its intended audience, and its relationship to larger issues or themes in the humanities.

C. Table of Contents

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

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 contain a clear and comprehensive statement of the significance of the text to be translated. This statement should describe the work's place in its own intellectual tradition and its value to those scholars and general readers who do not command the language of the original text. The discussion should demonstrate the applicant's familiarity with the field and with the developments in related topics that may have a bearing on the translation. Translations of works in less well known fields should be presented in such a way that their importance will be evident to scholars who are not specialists in the fields involved.

Applicants should also describe the text itself and should include information on the length of the entire text and the amount of material to be translated. If the application is for the retranslation of a work that already exists in English, the applicant should provide, in this section, the justification for the new version. Retranslation may be justified if the available translation was prepared from a flawed text, if the translation is itself flawed, or if the translation lacks the critical apparatus necessary to clarify the meaning of the original.

If the extent or nature of the materials to be translated precludes a complete translation, applicants should discuss in detail why an anthology is appropriate, what texts will be translated, and why these particular texts have been chosen. If the project constitutes a part of a larger undertaking, the whole effort should be briefly discussed, and the specific part of the project for which application is being made should be clearly defined.

2. History and Duration of the Project

Applicants should provide a concise history of the entire project, including an outline of any preliminary research or planning that has been conducted, the kinds and amounts of financial support the project has already received, and the resources available to the project. Normally, the translation should be

completed by the end of the grant period, which may be up to three years. If work on the project will continue after the proposed period of the grant, the applicant must 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 must provide, in two columns, a comparison of the original goals with the actual accomplishments during the period of the current grant.

3. Project Staff

Applicants should identify the project staff, describe their roles, and state their qualifications for undertaking the specific responsibilities assigned to them. Brief résumés for all major participants should be included in an appendix. These résumés should be designed to show, in a condensed form, the participants' qualifications to carry out their part in the project 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 should actually be in charge of the project and should 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 applicants judge that a reader for the completed translation is necessary, they may select a competent scholar to act in this capacity. The name and qualifications of this reader should be included in this section, and the reader's résumé should be attached in an appendix.

4. Project Methodology

Applicants should provide information about the status of the original texts and should indicate whether or not an authoritative text is available. If an authoritative text does not exist, applicants should describe the manuscripts or editions that must be compared and should outline the criteria that will be used to establish the text. If an edition is impracticable, applicants must explain why and how they intend to deal with errors and variant readings in existing editions.

Applicants should also provide a discussion of the particular problems posed by the translation (including an indication of the degree of difficulty of the text) and an explanation of how these problems will be resolved. In addition, applicants should include a detailed description of the nature of the critical apparatus that will accompany the translation and an outline of the proposed introduction.

If the project involves the use of a computer or word processor, details must be provided under section 7, "Computer Use."

5. Work Plan

Applicants requesting support for collaborative projects of more than one year must provide a schedule of work for each year that describes what will be accomplished and which members of the project staff will be involved.

6. Final Product and Dissemination

Plans for the eventual publication of the proposed translation should be described. Pertinent correspondence with a publisher (such as a letter of interest) should be included in an appendix. If the project involves materials currently under copyright, the applicant should indicate what has been done to secure the necessary permission for translation and publication of the materials.

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 be accompanied by a five-page, double-spaced sample, with annotations, of the translation to be undertaken during the course of the grant. Applicants should choose a passage or selections from several passages that illustrate the importance of the work and the degree of difficulty of the text. The sample should constitute a finished translation that will demonstrate, in its accuracy and fluency, the translator's ability and the anticipated quality of the completed project. A photocopy of the original text from which the sample is taken must also be submitted. If these copies are not completely legible, a transcription should be included.

An applicant proposing to retranslate a work that already exists in English should provide a photocopy of the most recent or most widely available English translation of the passage chosen for the sample.

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.   Cost sharing in renewal applications is usually at least 10 percentage points higher than in an original proposal.

Applicants are encouraged to seek some financial contribution from the appropriate foreign government. Inquiries are usually directed to the embassy's cultural attache.

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.

4. Complementary Programs

Applicants should be aware that certain translation projects are eligible for Excess Currency (PL-480) funds through the following sources: The American Institute of Indian Studies, 1130 East 59th Street, Chicago, Illinois 60637, considers applications for projects involving travel to and work in India; the Office of Fellowships and Grants of the Smithsonian Institution, Mail Stop 217, L'Enfant Plaza 3300, Washington, D.C. 20560, considers proposals for projects involving travel to or work in Pakistan and Burma.

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 cooperating institutions and from key project personnel not affiliated with the grantee institution.

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 either be experts in the particular area of the application or fluent in the language from which the translation is to be made, 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 Translations category.

IV. FORMAL SUBMISSION

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

1. Cover Sheet

2. Statement of Significance and Impact of Project

3. Table of Contents

4. Narrative Description with Sample Translation

5. Project Budget

6. Appendices (including résumés)

7. Statement of History of Grants

8. List of Suggested Reviewers

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

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

V. DEADLINE

The complete application package must be postmarked no later than 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.

INSTRUCTIONS FOR COMPLETING THE APPLICATION COVER SHEET

Block 1--Individual Applicant or Project Director

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

Item b. 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-yr. college, 4-yr. college, etc.), library (public, research, etc.), center (advanced study, research, etc.). Identify Status as either Private Nonprofit or Unit of State or Local Government. 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, 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.

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 include the author and the title of the text (in English). If the work to be translated consists of a number of texts, provide a concise title that reflects the substance of the proposal.

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.

Block 9--Description of Project

Provide a brief description of the proposed project. Do not exceed the space provided. The description should clearly reflect the importance of the project and should include information on the date of the original, the length of the materials that are being translated, and the language or languages from which the materials are being translated.

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--e.g., negotiating the project budget, ensuring compliance with the terms and conditions of the award--is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12--Federal Loan Status

Only one signature is required. If Block 2 box "a" was checked, then the individual named in Block 1 shall certify that he or she is not delinquent in repayment of any federal debt. If Block 2 box "b" was checked, then the authorizing official named in Block 11b shall certify that the institution is not delinquent in repayment of any federal debt. Federal debt is defined as an amount of money or property that has been determined by an appropriate agency official to be owed to the United States from any person, organization, or entity, and is interpreted to include such debts as guaranteed student loans, FHA loans, SBA loans, Department of Education institutional loans, and all other federally backed loans and debts. Delinquent means any account 30 days past due.

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

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

NEH APPLICATION COVER SHEET

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/Translations

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

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

	no. of persons	total travel days	subsistence costs	transport. + costs =	NEH Funds		Total
Travel							
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
T O T A L D I R E C T C O S T S					$31,808	$14,985	$46,793
Indirect Costs							
20% of $46,793					$ 6,362	$ 2,997	$ 9,359
T O T A L P R O J E C T C O S T S (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

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.

Translations Category

<u>Statement of Significance and Impact of Project</u>

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 an award notice requires prior Endowment approval. Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.

-- All procurement transactions are to be conducted in a manner that provides, to the maximum extent practical, open and free competition; for purchases in excess of $10,000, any use of sole-source contracts must be fully justified and documented.

-- Unless otherwise notified in writing, grantees must acknowledge Endowment support in all materials resulting from grant activities.

-- If a grantee earns income from grant activities or products that result from grant activities, the Endowment reserves the right to recover a portion of the program income.

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.
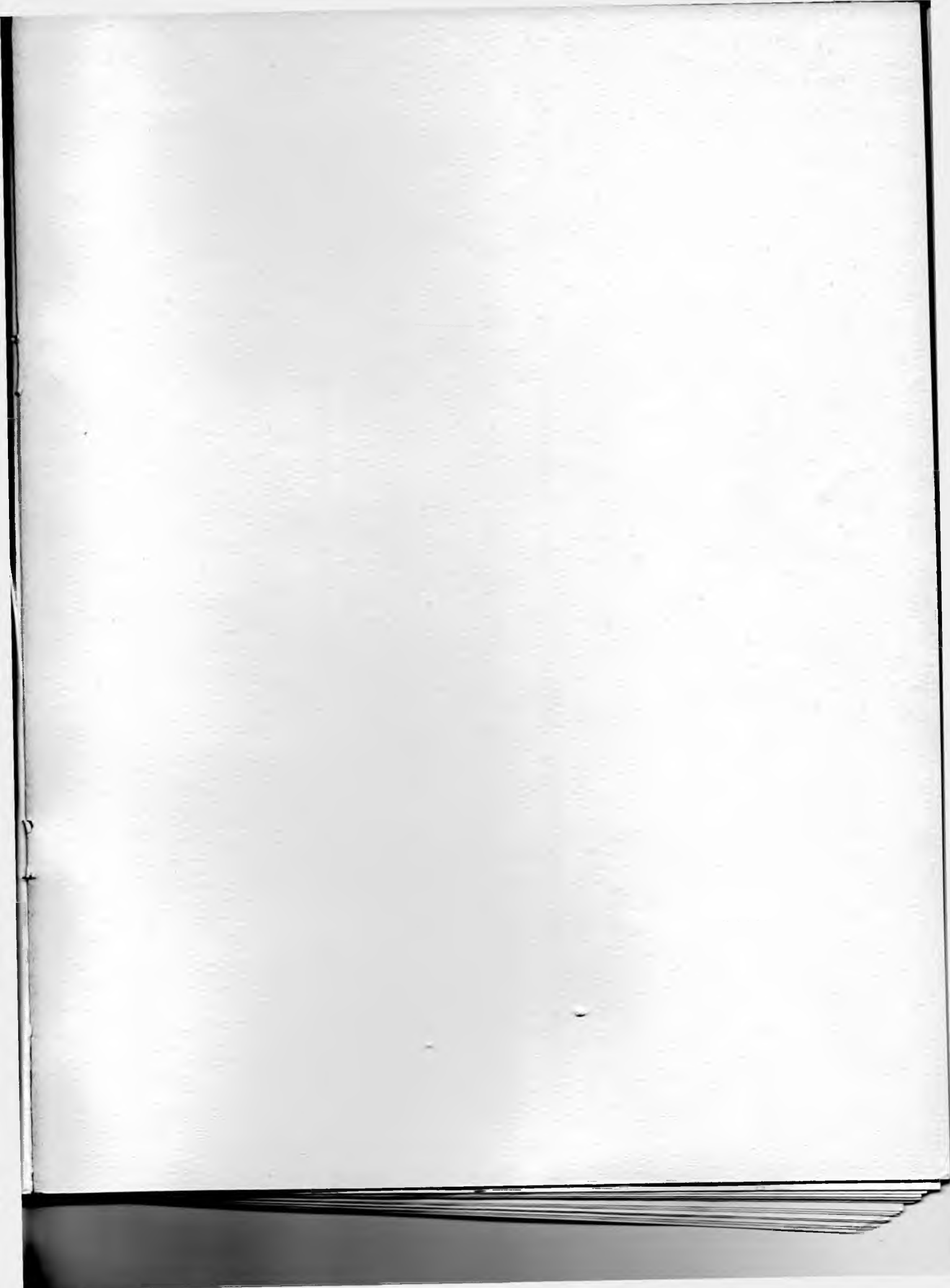
R88-5

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

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