



National  
Endowment  
for the  
Humanities

Division  
of  
Research  
Programs

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*DESK*

Guidelines  
Application Forms

# **Centers For Advanced Study**

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Centers for Advanced Study  
National Endowment for the Humanities  
Room 318  
Washington, DC 20506  
202/786-0210  
(after 9/28/92: 202/606-8210)

### **TIMETABLE**

- |                                 |   |
|---------------------------------|---|
| <b>August 1</b>                 | Date by which applicants desiring staff comment should send draft proposals |
| <b>October 1</b>                | Postmark deadline for sending formal applications to the Endowment          |
| <b>June, the following year</b> | Notification of awards  |

### **APPLICATION CHECKLIST**

1. Twelve copies of the application package, each copy including, in the following order:
  - \_\_\_ a) Application Cover Sheet (one copy with the original signature of the authorizing official)
  - \_\_\_ b) Table of Contents
  - \_\_\_ c) Narrative Description (limited to 25 or fewer double-spaced pages)
  - \_\_\_ d) Proposed Budget
  - \_\_\_ e) Appendices
  - \_\_\_ f) Statement of History of Grants
- \_\_\_ 2. Three additional copies of the application cover sheet.

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## GENERAL INFORMATION

### The National Endowment for the Humanities

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

The Endowment supports work in the humanities through programs administered by six divisions—Education Programs, Fellowships and Seminars, Preservation and Access, Public Programs, Research Programs, and State Programs—and by the Office of Challenge Grants.

### The Humanities

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

Work in the creative or performing arts—such as writing of fiction or poetry, painting, sculpting, composing or performing music, acting, directing, and dance—is not eligible for support by the National Endowment for the Humanities. Persons interested in support in these areas should write or call the National Endowment for the Arts. Critical, historical, and theoretical studies of the arts, however, are eligible for NEH support.

### Special Initiatives

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

**The Columbian Quincentenary.** As part of the international observance of the 500th anniversary of Christopher Columbus's voyage of discovery to the New World, NEH invites proposals for original scholarship on related topics and for the dissemination of both new and existing scholarship. Topics may include the expansion of European civilization and

the establishment of new societies and new forms of cultural expression through encounters among native American, European, and African peoples. Proposals may also explore the ideas—political, religious, philosophical, scientific, technological, and aesthetic—that shaped the processes of exploration, settlement, and cultural conflict and transformation set into motion by Columbus's momentous voyage.

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

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

Applications responding to Endowment initiatives should be submitted to regular Endowment programs and will be judged according to the criteria stated for those programs.

### CENTERS FOR ADVANCED STUDY

This program makes grants in support of fellowship programs administered by research libraries and museums, American research centers overseas, and other independent centers for advanced study. The fellowships awarded by each center enable individual scholars to pursue their own research for periods ranging from six to twelve months and to participate in the interchange of ideas among the center's scholars. In assessing an application from a center, the Endowment emphasizes the intrinsic importance of the work to be undertaken, the relation of this work to the center's collections and other facilities, the quality and productivity of the center's previous fellows, and the degree to which arrangements at the center promote collegial exchange. A fundamental

consideration in the awarding of funds to a center is the advantage to scholars of working collegially at the center in contrast to working individually at separate locations. Endowment funds awarded in this program may be used only to support fellowship stipends and standard allowances, costs of publicizing the availability of the NEH fellowships, and costs of selecting the fellows.

Individual scholars interested in pursuing research at any of the centers receiving Endowment support should apply directly to the centers themselves. A list of currently funded centers is available from the Endowment on request.

## Eligibility

Centers for advanced study that are nonprofit, tax-exempt institutions and are financed and directed independently of institutions of higher education are eligible for funding. Because the purpose of the Endowment's support is to enhance existing fellowship programs, eligibility is limited to centers that have established fellowship programs with their own or other private funding and that are prepared to offer fellowships for periods of six to twelve months.

All applicants are encouraged to correspond with the Centers for Advanced Study program staff early in their planning about questions of eligibility. Applicants should also bear in mind that eligibility does not ensure that an application will be competitive in the review process.

To be eligible to receive NEH funding, applicants must have obtained tax exempt status from the Internal Revenue Service. Accordingly, by accepting a grant, the recipient certifies that it has tax exempt status. It should be understood by the grant recipient that in the event an award of a grant is erroneously made to an organization, institution, or group subsequently determined to be ineligible for a grant, the award may be terminated.

## What The Centers for Advanced Study Program Does Not Support

The Centers for Advanced Study Program does not provide support for fellowships for

research undertaken in the pursuit of an academic degree;

the preparation of textbooks;

projects that focus on pedagogical theory, research in educational methods, tests, and measurements, or cognitive psychology;

projects that are directed at persuading an audience to a particular political, philosophical, religious, or ideological point of view, or that advocate a particular program of social action or change, and projects that examine controversial issues without taking into account competing perspectives.

## Conditions Governing NEH Fellowships at Centers

NEH fellowships are for persons who have already completed their formal professional training. Consequently, degree candidates and persons seeking support for work in pursuit of a degree are not eligible to apply for NEH fellowships at centers for advanced study. Foreign nationals are not eligible to apply unless they have lived in the United States for the three years immediately preceding the application deadline for the fellowship. Centers must give all eligible applicants equal consideration; they may not restrict applications to members of a scholarly organization or to persons affiliated with institutional members of a scholarly organization. Nor may they require an administrative or application fee. Centers may not accept applications from any officer, member of the board of trustees or advisers, officer or board member of a parent organization, or selection committee member until at least one year has elapsed since the person's last service in such a position. In awarding an NEH fellowship, a center must also give preference to persons who have not held any long-term (six months or more) fellowships within the three years preceding the period during which the NEH fellowship will be held.

Fellows must devote full time to their fellowship studies and may not accept teaching assignments or undertake any other major activities during the tenure of their fellowships. Fellowship tenure must be continuous and last from six to twelve months.

Stipends and allowances for NEH fellows are determined in accordance with a center's usual practices, although the maximum amount that may be awarded to a fellow from NEH funds is \$30,000. The maximum stipend of \$30,000 is applicable to any six-

*including travel  
allowance*

Conflict of Interest?

to twelve-month period. A center may supplement the stipend from its own funds, but in no case may the total amount that a fellow receives exceed his or her salary for the academic or calendar year, except for customary allowances for travel and other research expenses. In addition, centers must grant NEH fellows all benefits, services, and accommodations normally accorded other fellows.

*split off*  
*split off*  
*split off*  
*H*  
Centers should publicize the NEH fellowships and their application procedures clearly and effectively so that all qualified potential applicants may learn of the full range of fellowship opportunities. Each center should ensure fair and informed selection by relying on the advice of scholars who are not on the center's board or staff. *shrink committee* After the completion of each fellowship competition and the award of fellowships, the center must provide the Endowment with a full report on its competition, from publicity campaign to selection of fellows. In particular, the center must provide:

- (a) copies of printed material used to publicize the availability of NEH fellowships at the center;
- (b) a description of the audience at which the publicity was aimed and a list of the journals, news letters, institutions, and organizations to which publicity materials were sent;
- (c) a detailed account of the procedures used to select fellows, including the names, institutions, and fields of the people who reviewed the applications; and, instructions and criteria of selection supplied to reviewers;
- (d) a list of the NEH fellows selected, annotated with the fellows' fields or departments, their institutions, and a brief description of the fellows' projects; and full applications, including résumés, project proposals, tenure periods, and stipend amounts;
- (e) a comparative statistical analysis of the NEH fellows and the group of applicants eligible for NEH fellowships by field, type of institution, academic rank, and geographical distribution; and
- (f) a comparison of the fellows and eligible applicants with the previous year's fellows and eligible applicants and an analysis of any discernible statistical trends in recent years or sudden changes from the previous year.

At the end of their tenure, NEH fellows must submit final reports on their activities and accomplishments to NEH's Division of Research Programs.

A center supported by the NEH is expected:

- (a) to include an acknowledgment of the support of the National Endowment for the Humanities in all its publications that result from or pertain to the use of the grant funds. This requirement includes materials prepared by the center to advertise the availability of fellowships at the center, materials that describe the procedures for the selection of fellows, announcements of fellows selected, and reports on the substantive work accomplished by NEH fellows. Persons supported in whole or in part by NEH funds must be so identified, even when other sources of funding are involved;
- (b) to insure, unless advised otherwise, that all scholarly articles, books, and other publications resulting from work conducted at the center by NEH fellows contain an acknowledgment of NEH support;
- (c) to list in its annual reports to NEH all books, articles, and monographs appearing during the year being reported that were prepared at the center by NEH fellows supported under the current grant or previous grants; and
- (d) to provide NEH's Division of Research Programs with one copy of all such books, articles, and monographs.

## The Review Process

Each application to the National Endowment for the Humanities is carefully assessed by knowledgeable persons outside the Endowment who are asked for their judgments about the quality and significance of the proposed project. About 1,200 scholars, professionals in the humanities, and other experts serve on approximately 225 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. The judgment of panelists in the Centers for Advanced Study Program normally is supplemented by individual site visit reports or reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the applications under review. The questions listed in the following section are the criteria used in the evaluation.

The advice of the panels and site visitors or outside reviewers is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then presented

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to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate. The National Council meets four times each year to advise the Chairman of the Endowment. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, takes into account the advice provided by this review process and, by law, makes the final decision about funding.

### Questions for the Review of Applications

- o How important has previous work conducted at the center been for the advancement of thought and knowledge in the humanities?
- o How are the areas in which fellowships will be given related to the center's resources and to the advancement of research in the discipline or disciplines involved?
- o How effective are the direction and administration of the fellowship program, including the announcement of the competition for fellowships? How expert and equitable is the process of selecting the fellows?
- o What is the overall quality of the center's past and present fellows?
- o What are the quality and scope of the resources, facilities, and services available to the fellows for their work?
- o In what ways will the arrangements at the center promote collegial exchange?

### Preliminary Proposal

At least two months before the October 1 application deadline centers planning to apply are urged to submit a draft of the narrative and budget sections and the appendices of the proposal. This preliminary step will permit the staff of the Endowment to assess eligibility, advise on the preparation of the application, call or write the applicant about the proposal, and, if appropriate, arrange a site visit to the center to take place after the formal application has been submitted. Staff responses to preliminary proposals are not a part of the formal review process, which normally begins with a site visit.

### Other Programs of the Research Division

**Interpretive Research** grants support long-term collaborative projects and conferences designed to advance the state of research on topics of major importance; significant archaeological excavations and publications worldwide; and projects that apply the knowledge, methods, and perspectives of the humanities to subjects in science, technology, and medicine. For **Collaborative Projects and Humanities, Science, and Technology**, the application deadline is October 15 for projects beginning on or after July 1 of the following year. For **Archaeology**, the application deadline is October 15 for projects beginning on or after April 1 of the following year. For **Conferences**, there are two annual deadlines for sponsoring organizations: January 15 for projects beginning after October 1, and July 15 for projects beginning after April 1 of the following year.

**Editions** grants support the preparation of authoritative and annotated editions of works and documents of value to humanities scholars and general readers. The application deadline is June 1 for projects beginning on or after April 1 of the following year.

**Translations** grants support the translation into English of works that provide insight into the history, literature, philosophy, and artistic achievements of other cultures and that make available to scholars, students, teachers, and general readers the thought and learning of those civilizations. The application deadline is June 1 for projects beginning on or after April 1 of the following year.

**Publication Subvention** grants of \$7,000 per volume support the publication and dissemination of excellent books in all fields of the humanities. The application deadline is March 13 for projects beginning on or after October 1.

**Reference Materials** grants provide support for projects that will facilitate research by preparing reference works that improve scholars' and researchers' access to humanities source materials. The application deadline is September 1 for projects beginning on or after July 1 of the following year.

**International Research** grants to national organizations and learned societies enable American scholars to pursue research in the United States and abroad on foreign cultures and to collaborate with foreign colleagues. The application deadline for



sponsoring organizations is April 1 for projects beginning on or after January 1 of the following year. Each sponsoring organization has deadlines for individual applications. Individuals apply directly to sponsoring organizations.

The Division of Research Programs also reviews **Challenge Grant** applications intended to promote long-term improvements in the quality of an institution's research resources or programs in the humanities.

## Further Information

Information on the programs of the Research Division is available from the

Division of Research Programs  
Room 318  
National Endowment for the Humanities  
1100 Pennsylvania Avenue, N.W.  
Washington, DC 20506

Reference Materials and Challenge Grants:  
202/786-0358 (after 9/28/92: 202/606-8358).

Editions, Translations, and Publication  
Subvention: 202/786-0207 (after 9/28/92:  
202/606-8207).

Interpretive Research, Centers for Advanced  
Study, and International Research: 202/786-  
0210 (after 9/28/92: 202/606-8210).

## APPLICATION INSTRUCTIONS

The application will consist of six parts: a cover sheet, a table of contents, a narrative description of the center's program, a budget, appendices (including résumés, which may be provided in any format but should include pertinent information concerning an individual's education, experience, and other qualifications), and a statement of the history of any federal grants received by the center. Forms for the cover sheet and the history of grants are enclosed.

### General Advice

All applications to the Endowment should present, in a clear, coherent manner, a sound intellectual justification for the proposal and an appropriate plan of

work. Successful applications are usually free of jargon, clichés, pedantry, unsubstantiated claims, unnecessary repetition, and imprecise prose. Titles of projects should be brief, descriptive, and substantive. Proposal narratives should be limited to twenty-five or fewer double-spaced pages, with appendices used to provide appropriate illustrative material. Résumés should be concise and current.

Prospective applicants are advised to review carefully the list of questions (see p. 6) that evaluators of Centers for Advanced Study applications are asked to address. The issues raised in those questions should be addressed in the appropriate sections of the proposal. Applicants also are advised that it is preferable to follow the format outlined below.

### Cover Sheet

The NEH Application Cover Sheet and instructions for completing it are included in this booklet.

### Table of Contents

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

### Narrative Description

Centers may have much of the information requested in this section in their annual reports, auditors' reports, and brochures. Applicants should include such material and refer to it when preparing a detailed description that includes the following sections:

**Nature of the Center.** This section should contain clear and concise statements about the nature of the center and about the importance of the work done there for the advancement of thought and knowledge in the humanities. Applicants should describe the center's philosophy, purpose, history, and governance as well as the usual sources of funding; the size and scope of library holdings or special collections at the center or nearby institutions; the facilities available for study, research, and discussion (such as offices, computer equipment, word processors, typewriters, carrels, and common rooms); and any services that would be available to fellows (such as secretarial or research assistance, photocopying, meals, and housing or housing assistance).

*Appendix A*

**Nature of the Fellowship Program.** Applicants should describe the history, purpose, scope, and focus of the center's fellowship program. This description should include information about any special fields of interest on which the fellowship program focuses and any particular mix of fellows that the center attempts to achieve. Applicants should describe the activities of the fellows from several recent years, reporting on their research and their informal and structured collegial activities.

To this section the applicant should append lists of all fellows, their fields, and their home institutions for the current year and for at least the two preceding years. This list should distinguish long-term (six- to twelve-month) from short-term (one- to five-month) fellows. Applicants for renewal grants should identify the NEH fellows on the list. The applicant should also append a comparative statistical analysis of the applicant pool and the resulting awards for the current year and each of the two preceding years, including an explanation of any significant trends and a statement of any efforts that the center is making to influence the trends. Fields of study, types of institution, academic rank, and geographical distribution are the most important general categories of analysis. In addition, the applicant should include in the appendices a bibliography with full citations of books and articles that are attributable to previous fellowships. Those attributable to NEH fellowships should be so designated.

Because one of the purposes of the Endowment's support for fellowships at centers for advanced study is to encourage collegial exchange, applicants should describe the publicity methods used by the center to attract scholars with related interests; they should append lists of publications and other addressees receiving announcements as well as copies of announcements and posters used to publicize the program. Applicants should also address the ways in which the center nurtures collegiality among the scholars once they are in residence. This would be an appropriate place to describe the centers' seminars, colloquia, "brown-bag talks," and any other devices by which the center seeks to foster intellectual interaction.

Applicants must provide full details on the selection process, including a description of the procedures and schedule; the selection criteria; a list of members of the selection committee, rating panel, or slate of outside reviewers; a statement of the guidance, instructions, and selection criteria provided persons who take part in the selection of fellows; copies of form letters used in responding to inquiries

from potential applicants; and application forms and instructions. Applicants should describe the criteria by which members of selection committees themselves are chosen and the years of service for which they are retained. In particular, applicants should describe the kind of balance they try to achieve in their committees with respect to discipline, institutional and geographical diversity, and other factors. Lists of committee members who chose the fellows for the current year and the two preceding years, annotated as to discipline, institutional affiliation, and academic rank, should be appended.

Applicants should also list the stipend amounts and lengths of tenure of the fellowships offered by the center. Applicants should explain whether they offer a set amount for fellows' stipends, match salaries, respond to budgets submitted by fellows, or use some other method to determine the stipends. Applicants should also note whether stipends are offered for living expenses only or include amounts to defray travel expenses.

The kinds of reports requested from fellows should be described as should the results of the most recent assessment of the value to the fellows of the center's program. Copies of NEH fellows' reports for the preceding three years should be appended. Institutions that have not had NEH fellows should attach reports from their long- or short-term postdoctoral fellows.

In this section, applicants should also provide an annual budget for their complete fellowship program, including funds budgeted from the center's own resources and from other sources. This budget should be divided into categories of expenses similar to those in the NEH budget described below, and it should clearly distinguish long-term from short-term fellowships. If the center's program now operates with the support of an Endowment grant, the applicant should list separately the funding for the NEH fellowship program (consisting of NEH outright and matching funds as well as the gifts used to release the matching funds). In addition, the applicant should provide information about the extent to which the center can continue its fellowship program without NEH funding. For example, the applicant should describe what reductions in numbers of fellows in the humanities and length of tenure would be necessary without NEH support.

**Center Staff.** Applicants should identify the permanent professional staff and faculty at the center and should explain the extent to which they will be directly involved in the fellowship program. Brief

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résumés for the director of the center and the principal staff or faculty members involved in the fellowship program should be included in an appendix.

**Future of the Fellowship Program.** Applicants should describe any proposed changes in the center's focus, interests, purposes, scope, structure, or mix of fellows and should explain how these changes will increase the importance of the work done at the center. Any changes in the number of fellows (Endowment-supported and other fellows) or stipend levels needed to achieve the center's purposes should also be explained.

## Proposed Budget

The center should prepare a budget that includes all expenses charged to outright and matching funds from NEH as well as expenses that are charged to gifts from third parties that NEH is being asked to match. The budget should break these expenses down, year by year, into the costs of fellowship stipends, travel allowances, printing, postage, travel and per diem expenses for selection committee members, etc.

A sample budget is provided in the attachments to these instructions.

**Types of Grant Support.** The Endowment supports projects with outright funds, matching funds, and a combination of the two.

**Outright Funds:** Outright funds are awarded by the Endowment to support approved projects and are not contingent on additional fund raising by the grantees.

**Matching Funds:** Matching funds, by contrast, require a grantee to secure gift funds from third parties before federal funds are awarded. Endowment matching grants are made on a one-to-one basis and are intended to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts.

Because matching awards enable the Endowment to provide support to a greater number of significant but often costly projects, applicants are encouraged to request complete or partial support in the form of matching grants. Whenever possible, applicants requesting matching funds should identify potential sources of gift funds at

the time they submit an application to the Endowment.

**Combined Funds:** Applicants may also request a combination of outright and matching funds from the Endowment. For example, if a project will cost \$40,000, and the applicant expects to receive \$10,000 from an eligible third-party donor, the applicant should request \$10,000 in matching funds. The balance of the project's costs (\$20,000) may be requested in outright funds.

The Endowment may offer funding at a different level than that requested. In some instances, the Endowment may offer matching funds only, or it may offer a combination of matching and outright funds in response to a request for outright funds.

**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 third party funds that are used to release federal matching funds, must occur during the grant period. Projects can include full- or part-time activities for periods of up to three years. Centers may request fellowship funds for periods of from one to three years; if funds are requested for fellowship publicity and selection, the grant period should include adequate time for these activities.

## Appendices

The appendices should be limited to supplementary but essential materials. These materials should include:

- (a) résumés from the relevant members of the center's staff and faculty;
- (b) lists of publications of previous NEH and other fellows. NEH fellows should be clearly identified as such, and full citations should be given for all publications;
- (c) lists of fellows (NEH and other) for the current and at least the past two years, including disciplines and institutional affiliations of fellows;
- (d) statistics on applications and awards as described above (pp.8);
- (e) lists of publications and addressees receiving announcements of fellowship programs;

- 
- (f) copies of publicity materials;
  - (g) lists of selection committee members who chose the fellows for the current and last two years; and
  - (h) copies of reports from fellows for the last three years.

### **Statement of History of Grants**

Please complete the enclosed form with this heading.

### **Formal Submission**

A checklist for assembling the final application is included at the front of this booklet.

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

1. Cover Sheet
2. Table of Contents
3. Narrative Description
4. Budget
5. Appendices
6. Statement of History of Grants

Applicants should submit **twelve** copies of the application, including one copy with the original, signed cover sheet, along with three extra copies of the cover sheet. Applications may not be submitted to NEH by means of a FAX machine or via electronic mail. The complete application package should be mailed to:

Centers for Advanced Study  
Division of Research Programs  
National Endowment for the Humanities  
Room 318  
1100 Pennsylvania Avenue, N.W.  
Washington, D.C. 20506

### **Deadline**

The complete application package must be postmarked no later than **October 1**. Receipt of the application will be acknowledged by postcard 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, and applicants are notified about the Endowment's decision early in June.

### **EEO STATEMENT**

Endowment programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Equal Employment Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506. TDD (for hearing impaired only) - 202/786-0282 (after 9/28/92: 202/606-8282).

Alternate format publications concerning Endowment programs (i.e., audio tapes, larger print) are available upon request.

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

# National Endowment for the Humanities

Washington, D.C.

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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.

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**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.**

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

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

## INSTRUCTIONS FOR COMPLETING THE APPLICATION COVER SHEET

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is 27 hours per response. This estimate includes the time for reviewing instructions; researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Assistant Chairman for Operations, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0099), Washington, D.C. 20503.

### Block 1—Individual Applicant or Project Director

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

**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 applicant's full telephone number with area code and, if applicable, extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left.

**Item d and Item e.** Applicants for grants in the Centers for Advanced Study program need not complete these items.

### Block 2—Type of Applicant

All applicants for grants in the Centers for Advanced Study category should be applying through an organization or institution. Item b has already been indicated on your form.

The **Type**, Center for Advanced Study, is preprinted on your form. Identify **Status** as either Private Nonprofit or Unit of State or Local Government. Example: **Type:** Center for Advanced Study. **Status:** Private Nonprofit.

### Block 3—Type of Application

Check appropriate type:

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

**Item b.** 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 the Endowment's initiatives described on page 3, please indicate the number corresponding to the initiative in the space provided after Endowment Initiatives:

03M—Columbian Quincentenary  
03D—Emergence of Democracy

### 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.

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**Block 6—Project Funding**

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

Gift money that will be raised to release any federal matching funds should be listed in Block 6d as cost sharing.

**Block 7—Field of Project**

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

**Block 8—Descriptive Title of Project**

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.

**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.** Enter the institution's employer identification number.

**Item c.** Indicate the name and title of the person who is authorized to submit applications on behalf of the institution or organization and to provide the certifications required in Block 12.

**Item d.** Indicate 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 an award is made. For example, at many universities the provost, vice president, president, or chancellor is the person "authorized" to submit an application (see item c), but the actual administration of the project—such as, negotiating the project budget and ensuring compliance with the terms and conditions of the award—is the responsibility of a grants or research officer. It is the latter person who should be listed here.

**Block 12—Certification**

The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Institutional applicants are required to certify that they will comply with the nondiscrimination statutes and their implementing regulations. These certifications and the accompanying instructions found in the appendix of this brochure should be read carefully before the application cover sheet is signed because most of these certifications impose new responsibilities on successful applicants.





**1. Individual applicant or project director****a. Name and mailing address**Name \_\_\_\_\_  
(last) (first) (initial)

Address \_\_\_\_\_

(city) (state) (zip code)

**b. Form of address:** ☐**c. Telephone number**Office: \_\_\_\_\_ / \_\_\_\_\_ Home: \_\_\_\_\_  
(area code) (area code)**d. Major field of applicant**

or project director \_\_\_\_\_ (code)

**e. Citizenship** ☐ U.S.☐ Other \_\_\_\_\_  
(specify)**2. Type of applicant****a.** ☐ by an individual **b.** ☒ through an org./institution

If a, indicate an institutional affiliation, if applicable, on line 11a

If b, complete block 11 below and indicate here

**c. Type** Center for Advanced Study**d. Status****3. Type of application****a.** ☐ new**b.** ☐ supplement**4. Program to which application is being made**Centers for Advanced Study ☐Endowment Initiatives: \_\_\_\_\_  
(code)**5. Requested grant period**From \_\_\_\_\_ To: \_\_\_\_\_  
(month year) (month year)**6. Project funding**

<b>a. Outright funds</b>	\$ _____
<b>b. Federal match</b>	\$ _____
<b>c. Total from NEH</b>	\$ _____
<b>d. Cost sharing</b>	\$ _____
<b>e. Total project costs</b>	\$ _____

**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. Employer identification number** \_\_\_\_\_**c. Name of authorizing official:**

(last) (first) (initial)

(title) \_\_\_\_\_

**d. Name and mailing address of institutional grant administrator:**

(last) (first) (initial)

(city) (state) (zip code)

Telephone: \_\_\_\_\_ Form of address ☐  
(area code)**12. Certification**

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

(signature)

(date)

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

**For NEH use only**

Date received

Application #

Initials

## Field of Project Categories and Codes

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

<i>Anthropology</i> L1
Archaeology U6
<i>Archival Management/Conservation</i> I1
<i>Arts, History and Criticism</i> 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
<i>Communications</i> P2
Composition & Rhetoric P1
Journalism P4
Media P3
<i>Education</i> H1
<i>Ethnic Studies</i> K1
Asian American K5
Black/Afro-American K4
Hispanic American K3
Jewish K6
Native American K2
<i>History</i> 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

<i>Humanities</i> U8
<i>Interdisciplinary</i> 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
<i>Languages</i> 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
<i>Law/Jurisprudence</i> Q1
<i>Library Science</i> H3
<i>Linguistics</i> J1

<i>Literature</i> D1
African DK
American DE
Ancient DC
Asian DA
British DD
Classical D2
Comparative D9
French D3
German D4
Latin American D6
Literary Criticism D1
Near Eastern DB
Slavic D7
Spanish D8
<i>Museum Studies/Historic Preservation</i> I2
<i>Philosophy</i> B1
Aesthetics B2
Epistemology B3
Ethics B4
History of Philosophy B5
Logic B6
Metaphysics B7
Non-Western Philosophy B8
<i>Religion</i> E1
Comparative Religion E5
History of Religion E2
Non-Western Religion E4
Philosophy of Religion E3
<i>Social Science</i> U2
American Government F2
Economics N1
Geography U7
International Relations F3
Political Science F1
Psychology U5
Public Administration F4
Sociology S1

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## SAMPLE BUDGET

### I. Outlays (by year of expenditure)

	1993-94	1994-95	Totals
Direct payments to fellows			
Fellowship stipends		\$58,000.00 [2]*	
Travel allowances		<u>2,000.00</u>	
		60,000.00	
Publicity			
Printing	1,000.00		
Postage	<u>1,200.00</u>		
	2,200.00		
Selection			
Travel of five committee members	1,500.00		
Per diem for same for two days	750.00		
Duplication of applications	<u>40.00</u>		
	2,290.00		
Total outlays			
Direct payments to fellows			60,000.00
Publicity and selection			<u>4,490.00</u>
			64,490.00

### II. Funding

NEH Outright funds	30,490.00
NEH Matching funds	17,000.00
Gifts	<u>17,000.00</u>
Total Funding	64,490.00

\* Indicate in brackets the estimated number of NEH fellowships to be funded.



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## STATEMENT OF HISTORY OF GRANTS

If the center has received previous support from any federal sources, including the Endowment, in the five years preceding this application, please list below the sources of these funds as well as the date and total dollar amount of each contribution. If the center 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.



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## GRANTEE RESPONSIBILITIES

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

- o 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. (A checklist of the basic financial management standards for nonprofit organizations is available from the NEH Grants Office, Room 310, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.)
- o All commitments and obligations of grant funds and cost-sharing contributions are to occur during the grant period.
- o Project activities are to be carried out in accordance with the workplan provided in the approved application. The following changes require written approval in advance from the Endowment:
  - o Changes in the project's focus or scope;
  - o Major adjustments in the budget; and
  - o The replacement of the project director, the codirector, or other project personnel specifically named in the award notice.
- o Interim performance reports are required and should provide detailed and thorough descriptions of the project's activities and progress.
- o Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.
- o Unless advised to the contrary, all materials publicizing or resulting from grant activities shall contain an acknowledgment of NEH support.
- o The grantee shall be directly responsible for the administration and supervision of the project.
- o Grantee organizations receiving \$25,000 or more in federal awards during their fiscal year are required to have an audit performed that meets the requirements of either OMB Circular A-133, "Audits of Institutions of Higher Education and Other Nonprofit Organizations" or OMB Circular

A-128, "Audits of State and Local Governments". Copies of these circulars may be obtained from the NEH Grants Office.

## 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 they are donated directly to the applicant.

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

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

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

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## Appendix

### Instructions for the Certifications

#### General Requirements

The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Institutional applicants are required to certify that they will comply with the nondiscrimination statutes and implementing regulations.

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

The certifications are material representations of fact upon which reliance will be placed when the Endowment determines to fund the application. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, in addition to other remedies available to the federal government, the Endowment may seek judicial enforcement of the certification (nondiscrimination statutes); may terminate the award for cause or default (federal debt status and debarment and suspension); and may suspend payment, suspend or terminate the grant, or suspend or debar the grantee (drug-free workplace). Any person who fails to file a required certification regarding lobbying or submits an erroneous certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The applicant shall provide immediate written notice to the director of the NEH Grants Office if at any time the applicant learns that its certifications

were erroneous when submitted or have become erroneous by reason of changed circumstances.

#### Nondiscrimination Statutes and Implementing Regulations

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

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

#### Federal Debt Status

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

Definitions of terms used in the federal debt status certification:

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

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



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## Debarment and Suspension

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

The applicant further agrees by submitting this proposal to include without modification the following clause in all lower tier covered transactions and in all solicitations for lower tier covered transactions:

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

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

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

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

Definitions of terms used in the debarment and suspension certification:

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

**Debarment:** An action taken by a debarring official in accordance with 45 CFR Part 1169 to exclude a

person from participating in covered transactions. A person so excluded is "debarred."

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

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

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

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

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

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

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

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

### **Drug-Free Workplace**

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

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

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

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

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

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

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

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

### **Lobbying Activities**

An applicant who requests grant funds in excess of \$100,000 is required to certify and, under certain circumstances, file a disclosure statement on lobbying activities. The "Certification Regarding Lobbying Activities" applies only to the individual application for which Endowment funding is being sought. If nonfederal funds were used or will be used to support lobbying activities for this application by persons other than regularly employed officers or employees of the applicant institution, the OMB "Disclosure of Lobbying Activities" (Standard Form LLL) shall be completed and returned to the NEH Grants Office. This form will also be filed at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information previously filed.

Those who received a subgrant, contract, or subcontract exceeding \$100,000 at any tier under an Endowment grant are required to file a certification and, when necessary, a disclosure form to the next tier above. All disclosure forms shall be forwarded to the NEH Grants Office by the grantee.

For the purpose of this certification a "regularly employed officer or employee of the applicant" is one who is employed by the applicant for at least 130 working days within one year immediately preceding the date of the submission that initiates Endowment consideration of the applicant for receipt of a grant or cooperative agreement.

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## Certifications

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

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

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

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

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

The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local)

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

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

#### Alternate I. (Applies to Grantees Other Than Individuals)

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

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

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

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

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

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving

actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

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

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

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

**Alternate II. (Applies to Grantees Who Are Individuals)**

(A) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.

(B) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

**5. Certification Regarding Lobbying Activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of \$100,000)**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Approved by OM8  
0348-0046

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>  Congressional District, if known: _____	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <b>10. a. Name and Address of Lobbying Entity</b>            (if individual, last name, first name, MI):         </div> <div style="width: 48%;"> <b>b. Individuals Performing Services</b> (including address if different from No. 10a)            (last name, first name, MI):         </div> </div>		
(attach Continuation Sheet(s) SF-LLL-A, if necessary)		
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	<b>13. Type of Payment (check all that apply):</b> <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____	
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
<b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:</b>  <div style="height: 100px; border: 1px solid black;"></div>		
(attach Continuation Sheet(s) SF-LLL-A, if necessary)		
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____	
Federal Use Only:		Authorized for Local Reproduction Standard Form - LLL

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

DISCLOSURE OF LOBBYING ACTIVITIES  
CONTINUATION SHEET

Approved by OM  
0348-0046

Reporting Entity: \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_









### **Conditions Governing NEH Fellowships at Centers**

NEH fellowships are for persons who have already completed their formal professional training. Consequently, degree candidates and persons seeking support for work in pursuit of a degree are not eligible to apply for NEH fellowships at centers for advanced study. Foreign nationals are not eligible to apply unless they have lived in the United States for the three years immediately preceding the application deadline for the fellowship. Centers must give all eligible applicants equal consideration; they may not restrict applications to members of a scholarly organization or to persons affiliated with institutional members of a scholarly organization. Nor may they require an application fee. Centers may not accept applications from any officer, member of the board of trustees or advisers, officer or board member of a parent organization, or selection committee member until at least one year has elapsed since the person's last service in such a position. In awarding an NEH fellowship, a center must also give preference to persons who have not held any long-term (six months or more) fellowships within the three years preceding the period during



which the NEH fellowship will be held.

Fellows must devote full time to their fellowship studies and may not accept teaching assignments or undertake any other major activities during the tenure of their fellowships. Fellowship tenure must be continuous and last from six to twelve months.

Stipends and allowances for NEH fellows are determined in accordance with a center's usual practices, although the maximum amount that may be awarded to a fellow from NEH funds is \$30,000. The maximum stipend of \$30,000 is applicable to any six- to twelve-month period. A center may supplement the stipend from its own funds, but in no case may the total amount that a fellow receives exceed his or her salary for the academic or calendar year, except for customary allowances for travel and other research expenses. In addition, centers must grant NEH fellows all benefits, services, and accommodations normally accorded other fellows.

Centers should publicize the NEH fellowships and their application procedures clearly and effectively so that all qualified potential applicants may learn of the full range of fellowship opportunities. Each center should ensure fair and informed selection by relying on the advice of scholars who are not on the center's board or staff. After the completion of each fellowship competition and the award of fellowships, the center



must provide the Endowment with a full report on its competition, from publicity campaign to selection of fellows. In particular, the center must provide:

- (a) copies of printed material used to publicize the availability of NEH fellowships at the center;
- (b) a description of the audience at which the publicity was aimed and a list of the journals, newsletters, institutions, and organizations to which publicity materials were sent;
- (c) a detailed account of the procedures used to select fellows, including the names, institutions, and fields of the people who reviewed the applications; and, instructions and criteria of selection supplied to reviewers;
- (d) a list of the NEH fellows selected, annotated with the fellows' fields or departments, their institutions, and a brief description of the fellows' projects; and full applications, including résumés, project proposals, tenure periods, and stipend amounts;
- (e) a comparative statistical analysis of the NEH fellows and the group of applicants eligible for NEH





fellowships by field, type of institution, academic rank, and geographical distribution; and

- (f) a comparison of the fellows and eligible applicants with the previous year's fellows and eligible applicants and an analysis of any discernible statistical trends in recent years or sudden changes from the previous year.

At the end of their tenure, NEH fellows must submit final reports on their activities and accomplishments to NEH's Division of Research Programs.

A center supported by the NEH is expected:

- (a) to include an acknowledgment of the support of the National Endowment for the Humanities in all its publications that result from or pertain to the use of the grant funds. This requirement includes materials prepared by the center to advertise the availability of fellowships at the center, materials that describe the procedures for the selection of fellows, announcements of fellows selected, and reports on the substantive work accomplished by NEH fellows. Persons supported in whole or in part by NEH funds must be so identified, even when other sources of funding are



involved;

- (b) to insure, unless advised otherwise, that all scholarly articles, books, and other publications resulting from work conducted at the center by NEH fellows contain an acknowledgment of NEH support;
- (c) to list in its annual reports to NEH all books, articles, and monographs appearing during the year being reported that were prepared at the center by NEH fellows supported under the current grant or previous grants; and
- (d) to provide NEH's Division of Research Programs with one copy of all such books, articles, and monographs.



NATIONAL ENDOWMENT FOR THE HUMANITIES

WASHINGTON, D.C. 20506

OMB No. 3136-0083

Expires January 31, 1994



ACCEPTANCE FORM

NEH FELLOWSHIPS, 1992-1993

1. Program through Which Award Is to Be Made

[ ] Fellowships for University Teachers

[ ] Fellowships for College Teachers and Independent Scholars

2. Name: \_\_\_\_\_

3. Home Department and Institution, or Home Address (See above, p. 7 [item 4.a].)

Telephone Numbers (include area code)

Home: \_\_\_\_\_ Office: \_\_\_\_\_

4. a. Stipend Mailing Address (include zip code):

b. Request for Early or Larger First Payment

Address to which early first payment should be sent (if same as above, write "Same"):

Additional amount requested for  
larger first payment:

\$ \_\_\_\_\_

Reasons for requesting an early or larger first payment:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Period of Tenure

From \_\_\_\_\_ to \_\_\_\_\_  
Month/day/year Month/day/year

Academic terms covered (indicate both the number of terms covered and the kind of term, for example, one semester, two quarters, etc.):

\_\_\_\_\_  
\_\_\_\_\_

Number of months covered (for persons whose income is not linked to an academic-year calendar):

\_\_\_\_\_  
\_\_\_\_\_

6. Salary and Sabbatical and Other Supplemental Grant Income

a. Salary

For teachers. 1991-92 academic-year salary: \$ \_\_\_\_\_

For independent scholars. 1991 salary: \$ \_\_\_\_\_

b. Supplemental Income

- (1) Sabbatical leave salary to be received during tenure (if none expected, write "None"): \$ \_\_\_\_\_

Indicate what portion of your academic-year salary this sabbatical income represents (for example, one-half, two-thirds, etc.) and explain your institution's sabbatical or paid-leave policy:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- (2) Other grant or award income, from one's own employer or from another institution or agency, to be received during tenure (if more than one, list separately and indicate the source and purpose of each supplemental grant):

\_\_\_\_\_ \$ \_\_\_\_\_  
\_\_\_\_\_ \$ \_\_\_\_\_  
\_\_\_\_\_ \$ \_\_\_\_\_

# NATIONAL ENDOWMENT FOR THE HUMANITIES

WASHINGTON, D.C. 20506



OMB No. 3136-0083  
Expires January 31, 1994

## GENERAL INFORMATION ON NEH FELLOWSHIP AWARDS

1992-1993

### FELLOWSHIPS FOR UNIVERSITY TEACHERS

### FELLOWSHIPS FOR COLLEGE TEACHERS AND INDEPENDENT SCHOLARS

Part One of this document describes the terms and conditions governing NEH Fellowships for 1992-93 and other matters related to fellowships. Part Two provides information on tenure, stipends, allowances, and payment procedures and instructions for completing the Acceptance Form.

Questions about Fellowships for University Teachers should be directed to Joan Coleman or, if she is not available, Maben Herring, 202/786-0466.

Questions about Fellowships for College Teachers and Independent Scholars should be directed to Russell Wyland or, if he is not available, Joseph Neville, 202/786-0466.

Correspondence regarding fellowship matters should be directed to the program through which the award is made at the following address:

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

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

The information requested in the Acceptance Form is solicited under the authority of the National Foundation on the Arts and the Humanities Act of 1965, as amended, 20 U.S.C. 956. This information is needed to determine the amount of the stipend, to issue the fellowship award, to conduct statistical research, and to analyze trends. This information may be used routinely for administrative processing, general statistical research, congressional oversight, and analysis of trends and in the event of unresolved claims by the United States to consumer reporting agencies pursuant to the Debt Collection

Act of 1982. Information concerning grants, such as the principal investigator, location, title, field of study, type of grantee, special characteristics, length of award, date of application, date of recommendation, number, division and program element, amount, and brief description of purpose, is routinely forwarded to the Federal Award Automated Data System (FAADS) in the Office of Management and Budget. Failure to provide any of the requested information will result in the delay of the award or rejection of the application.

## PART ONE

### GENERAL CONDITIONS AND SUPPLEMENTAL INFORMATION

#### NEH FELLOWSHIP PROGRAMS

##### I. Terms and Conditions of Award

###### A. Full-Time Study

NEH Fellows are expected to devote full time to the study and research for which their fellowships were awarded. Fellows may not accept teaching assignments or undertake other activities that will take time away from their fellowship studies. Fellows contemplating any additional activity during their fellowship tenure should consult the Division of Fellowships and Seminars first to determine if the proposed activity is permissible.

###### B. Program Changes

Fellows may make minor changes in the projects described in their fellowship applications without consulting the Endowment. However, any significant change must be approved in advance. Fellows should describe and justify the changes to the Endowment in writing so that the Endowment may determine whether the new plans fall within the intent of the award.

###### C. Work Leading toward Degrees

Fellows may audit courses and seminars pertinent to their fellowship projects, but they may not enroll in degree programs or engage in work that they intend to apply toward a degree either now or later.

###### D. Travel and Travel Allowances

Fellows who are receiving less than the maximum stipend through salary replacement may request an allowance with their fellowship to cover travel required for the fellowship project. Any such allowance is provided only for the travel specified in the Acceptance Form and can be used only for travel carried out during tenure of the fellowship. The



7. Allowances

a. Standard Allowance. See page 9, above.

b. Travel Allowance

Itemized transportation expenses:

Total travel allowance requested:

\$ \_\_\_\_\_

8. Acceptance and Certification

I accept the offer of a fellowship and agree to comply with the conditions governing it as set forth in the General Information on NEH Fellowship Awards, 1992-1993. I certify that the information submitted in this report is true and correct to the best of my knowledge and that any changes or additions will be promptly reported.

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Signature)



travel allowance may not be held for use after the end of the tenure period. Modifications in travel arrangements that would be covered by NEH funds must be approved beforehand by the Endowment.

Federal law and regulations require that Fellows use U.S. flag carriers for any foreign air travel related to the fellowship project that is undertaken with Endowment funds. As a general rule, foreign air carriers may be used only if, or to the extent that, U.S. flag service is unavailable; service on U.S. flag carriers is considered "available" even when a foreign carrier can provide preferable, cheaper, or more convenient service.\*

Fellows who receive a specific travel allowance will be required to account in their final fellowship reports for travel covered by the allowance. If any portion of the allowance is not used for the travel approved by the Endowment, or if it is used in violation of any of the conditions of the travel allowance that are stated in this General Information on NEH Fellowship Awards, such funds must be returned to the Endowment.

#### E. Resignation or Termination

Fellowships may be terminated by the Endowment if, for any reason, Fellows resign or discontinue the proposed program before the end of the tenure period or fail to observe the terms and conditions of the award. If Fellows resign before the end of the tenure period, they must return any funds received over and above those to which they are entitled.

Fellows who have received a stipend and subsequently are unable to meet the terms of their award are obliged to inform the Endowment immediately so that appropriate action may be taken. If it is determined that Fellows must return a portion of their stipend to the Endowment, the Endowment will inform them of the amount that must be repaid, the basis for the calculation, and the date by which repayment must be made.

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\* U.S. flag service is considered "unavailable" in the following situations: (1) when the use of a U.S. flag air carrier for travel between the United States and a gateway airport abroad, which is the airport abroad from which the traveler will last embark for the United States or at which the traveler will first arrive from the United States, would extend the time in travel status by twenty-four hours beyond the time required to use a foreign carrier; (2) when the traveler must transfer to another flight while en route and the use of a U.S. air carrier would extend the time in travel status by six hours or more beyond the time required for using a foreign air carrier; (3) when the travel time on a scheduled flight of a foreign air carrier is three hours or less and using a U.S. air carrier would require twice as much travel time as the foreign carrier; and (4) when travel is between two places outside the United States and the use of a foreign air carrier would eliminate two or more changes of plane while en route.

F. Final Reports

Fellows must report activities and accomplishments under their fellowships at the end of tenure. Forms for these final reports will be included with the award letter and are due within ninety days of the completion of tenure.

G. Prohibition on the Use of Funds

NEH is required by its appropriations act to provide to grant recipients a copy of the text of 18 U.S.C. 1913, which prohibits the use of NEH funds for activities that are intended to influence members of Congress on matters of legislation or appropriations:

No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, be used directly or indirectly to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, to favor or oppose, by vote or otherwise, any legislation or appropriation by Congress, whether before or after the introduction of any bill or resolution proposing such legislation or appropriation; but this shall not prevent officers or employees of the United States or its departments or agencies from communicating to Members of Congress on the request of any Member or to Congress, through the proper official channels, requests for legislation or appropriations which they deem necessary for the efficient conduct of the public business.

II. Supplemental Information

A. Publication

The publication or public presentation of the results of study and research supported by an NEH Fellowship is not a requirement of the award. Fellows may copyright any material produced as a result of fellowship activities and make the results of their studies available to the public without restriction. They should acknowledge NEH support when publishing work that was accomplished under a fellowship and should send copies of their publications to the Division of Fellowships and Seminars, no matter how long after tenure the work may appear.

B. Medical Insurance and Other Fringe Benefits

The Endowment provides neither medical insurance nor any other fringe benefits for Fellows. It is therefore recommended that Fellows continue during their tenure any medical insurance or other benefit programs in which they are participating. Unemployment and Social Security insurance are not covered, because Fellows cannot be classified as employees of the U.S. Government.

C. Income Tax

The tax laws governing fellowship awards were amended by the Tax Reform Act of 1986, and the Internal Revenue Service (IRS) and the courts decide the extent to which a particular award is taxable. Fellows should familiarize themselves with the tax laws to determine the tax liability of their fellowship stipends and whether they are entitled to deduct any expenses in connection with their fellowship. The IRS has not advised the Endowment concerning tax treatment of fellowship awards, and NEH cannot provide tax advice or answers to tax questions. Therefore, Fellows should address any questions regarding income tax matters to the IRS or their tax advisor.

Fellows may wish to consult I.R.S. Publication 520, "Scholarships and Fellowships."

The Endowment cannot withhold income taxes from stipends, and Fellows must therefore make provision for paying income taxes when due. Fellows should check with the IRS to see if they are required to file Form 1040-ES, Declaration of Estimated Tax for Individuals, and to make quarterly payments in advance of filing their income tax returns.

The Endowment does not issue a W-2 form nor a Form 1099 to fellowship recipients. Fellows should refer to their award letters and the Official Notice of Action attached to them for the stipend payment dates.

PART TWO

INSTRUCTIONS FOR THE ACCEPTANCE FORM

NEH FELLOWSHIPS

The Acceptance Form is used to accept an NEH Fellowship and to report the mailing address for stipend payments, the exact tenure desired, and any sabbatical or other supplemental grant income. Fellows should retain a copy of the completed Acceptance Form, and they should notify the Division of Fellowships and Seminars whenever modifications are made in the arrangements agreed to by the Endowment.

1. Program through Which Award Is to Be Made
2. Name
3. Affiliation and Address
4. Stipend Payment

Stipends will be paid in installments. The first payment will be made at

the beginning of the tenure period, and the remainder will normally be made every third month through the tenure of the award. The schedule and amounts of payments will be given in the letter officially awarding the fellowship, and changes cannot be made once the award has been issued.

a. Stipend Mailing Address

Payments are made by the U.S. Treasury Department, and checks will be mailed to the address designated on the Acceptance Form. To avoid missing checks and delays in payment, Fellows are urged to have stipend checks sent to their personal bank accounts. Fellows should provide the account number if checks are to be sent to a bank account, but bank deposit slips should not be sent. Payments can also be made to Fellows in care of their institutions.

Checks cannot be mailed or forwarded to foreign addresses. The Endowment recommends that Fellows studying abroad have stipend checks mailed to their bank accounts in the United States.

A change in mailing address should be reported to the Endowment no later than one month before the check is due to be mailed.

b. Request for Early or Larger First Payment

Fellows who need to purchase tickets for transportation before the beginning of the tenure period may receive the first payment of their stipend thirty days before they begin tenure. However, no checks can be issued before January 1, 1992. Fellows who have particularly high initial transportation expenses may receive a larger first payment to cover them. Requests for early or larger first payments should be made on the Acceptance Form or explained in a separate letter.

5. Period of Tenure

Tenure must cover an uninterrupted period of from six to twelve whole months. The earliest that Fellows may begin tenure is January 1, 1992. The latest that Fellows who are teachers may begin tenure is the start of the spring term of their 1992-93 academic year; the latest that Fellows who are not teachers may begin is April 1, 1993. Tenure periods for teachers must include at least one term of the academic year and should not begin or end during a term of the academic year.

Fellows should be certain of the period of tenure indicated on the Acceptance Form so that no changes will be required at a later date. The dates of tenure given on the Acceptance Form may be different from the dates given originally in the application if the length of tenure or the number of terms of the academic year covered by the tenure period remains the same. In general, the Endowment will not approve a tenure period that would require the payment of a stipend larger than would have been paid for the tenure originally proposed on the application cover sheet.

6. Salary and Sabbatical and Other Supplemental Grant Income

The maximum NEH stipend is \$30,000. The actual stipends of Fellows are based on their current salaries and are calculated to replace salary up to a maximum of \$30,000 that will not be made up during the tenure period by sabbatical-leave salary or other comparable grants or income. The maximum stipend of \$30,000 is the limit on the amount NEH will contribute towards a Fellow's support, not the limit on the total income a Fellow may receive from all sources. Stipends do not cover fringe benefits. For Fellows with full-time academic appointments, stipends also do not cover salary earned from teaching summer or evening school, although Fellows may elect to include summer months in their tenure period.

While an allowance may be provided for transportation within the limit of \$30,000, no allowance will be given for any other expenses. See below, item #7 (Allowances).

Fellows may not hold other major fellowships or grants during fellowship tenure, except sabbaticals and supplemental grants from their own institutions and small grants from other sources for specific research expenses. Individuals who receive offers of fellowships from other foundations after June 1, 1991, may accept the other fellowship but must hold the NEH Fellowship first. Fellows may not hold an NEH Summer Stipend, Summer Seminar award, Travel to Collections grant, or an NEH Division of Research Programs grant during the fiscal or calendar year or years in which they hold an NEH Fellowship.

The amount of the actual stipend will be based on the information submitted by the Fellow on the Acceptance Form. Any subsequent changes affecting the amount of the stipend or stipend payments must be reported to the Endowment as soon as they occur so that appropriate adjustments may be made.

a. Salary

Salary for Teachers: Because stipends for 1992-93 Fellows who are teachers are based on their 1991-92 academic-year salaries, only salary for the 1991-92 academic year should be reported here, and income from summer or evening school teaching, fringe benefits, or anticipated pay raises for 1992-93 should not be included. Fellows whose 1991-92 academic-year salary is less than \$22,000 should report their actual salary here, even though their stipends will be based on \$22,000. Fellows who are not receiving an academic-year salary in 1991-92 should explain their circumstances in a letter.

If the tenure period covers less than the full academic year, salaries will be prorated according to the number of terms of the academic year included in the tenure period, not by the number of months of tenure. For example, if the tenure period is between six and eight months but covers one semester, the stipend will be based on one-half of the Fellow's 1991-92 academic-year salary.

The following are the three general cases into which the calculation of stipends for teachers falls:

- (1) When a Fellow receives no sabbatical or grant income, the stipend will be equal to the Fellow's 1991-92 academic-year salary, except that no Fellow will receive less than \$22,000, prorated as necessary for lesser periods of tenure, or more than \$30,000.
- (2) When a Fellow receives sabbatical or other grant income and the Fellow's 1991-92 academic-year salary is more than \$22,000, the Endowment will cover the difference between the sabbatical or other grant income received during the tenure period and the portion of the Fellow's academic-year salary lost during the tenure period, as long as the Endowment's contribution does not exceed \$30,000.
- (3) When a Fellow receives sabbatical or other grant income and has a salary of less than \$22,000, the Endowment will cover the difference between the sabbatical received during the tenure period and the portion of \$22,000 covered by the tenure period.

In some cases where Fellows are not receiving sabbatical support, their academic employers may be willing to cover benefits provided that the award is paid through the institution. If this might apply to them, Fellows should check with their institution before completing the Acceptance Form.

Salary for Independent Scholars: Because stipends for 1992-93 Fellows who are not teachers are based on their current salaries, Fellows should report here their 1991 annual salary. Fellows whose 1991 salary is less than \$22,000 should report their actual salary here, even though their stipends will be based on \$22,000. Fellows who are not receiving a salary or who will have no earned income for 1991 may need to explain their circumstances in a letter. For tenure periods of less than twelve months, salaries will be prorated according to the number of months of tenure.

If Fellows are not receiving any sabbatical or supplemental income from their employing institution, their actual stipend will be equal to their 1991 salary, except that no Fellow will receive less than \$22,000, prorated as necessary for lesser tenure periods, or more than \$30,000.

b. Sabbatical and Other Supplemental Grant Income

All grants to be held during fellowship tenure must be reported. Normally, sabbatical and other supplemental grants to be received during the tenure period will be subtracted from Fellows' 1991-92 academic-year salary as the Endowment calculates their stipends. The Endowment may make exceptions to this policy in the case of small grants for specific research expenses not covered by the NEH stipend and grants from Fellows' own institutions that are intended to cover special individual needs. If Fellows think that exceptions to this policy should be made for certain grants, they should explain the grants either in the Acceptance Form or in an accompanying letter.



7. Allowances

If the maximum stipend of \$30,000 is not reached through salary replacement, the Endowment will add either a standard allowance or a specific travel allowance. If the maximum is reached through salary replacement, no additional funds can be granted.

a. Standard Allowance

The maximum standard allowance is \$750. If the amount that NEH contributes to replace the Fellow's salary is \$29,250 or less, the standard allowance will be \$750. If the Fellow's salary replacement from NEH is between \$29,250 and \$30,000, then the standard allowance will be the amount of the difference between the salary replacement and \$30,000. This allowance is for general fellowship expenses and is awarded automatically within the limit of the maximum stipend.

b. Travel Allowance

If the salary replacement from NEH is less than \$29,250 and if the travel expenses will be more than \$750, Fellows may request a larger allowance to cover their travel by itemizing their expenses on the Acceptance Form. Fellows should keep in mind that the stipend total, including travel allowance, may not exceed \$30,000. Fellows whose travel totals \$750 or less do not need to fill out this section.

Travel allowances are intended to pay transportation expenses for Fellows between their home and the location of their fellowship research materials. Thus, they cover only travel that is clearly required for the fellowship project and that is accomplished during the grant period, and they are limited to the costs of transportation. Fellows whose plans have changed since they submitted their applications may request additional or different travel here, but any travel requested now that was not described in the application must be explained and justified.

In preparing this travel request, Fellows should give their itinerary and the costs of each segment of the travel, although they do not need to give the exact dates and times of the travel. All travel expenses must be fully itemized, not only those travel expenses that exceed \$750. Requests should be based on current rates. When Fellows account in their final reports for travel supported by a travel allowance, they will report the actual costs of their travel. The Endowment will make any necessary adjustments at that time, the budget allowing, although it will not adjust amounts of less than \$50.00.

In making their travel plans, Fellows should note the General Provisions, Section I, D, pertaining to travel during the tenure period, the use of U.S. flag carriers, and the account required of their travel in the final fellowship report. In addition, the following policies apply to NEH travel allowances:

- (1) Estimates of transportation costs should not exceed economy-class air rates.

(2) Transportation costs for the Fellow's spouse and dependent children may be covered only if they will remain with the Fellow for at least four months.

(3) Fellows who are driving may request 25 cents per mile, up to the amount of economy air fare. Specific costs of gasoline, car rental, shipment, maintenance, and insurance are covered by the 25 cent mileage allowance.

(4) Funds for a rail pass or bus pass will be approved only if Fellows can show that the alternative cost of the travel required would exceed the cost of the pass.

(5) The Endowment will not cover the cost of more than one trip to the same general location and will not make exceptions to this policy even if Fellows would find repeated trips personally more convenient or economical. Return trips to the same location should not be requested, and travel to relatively nearby sites and sites that lie in the same general direction should be consolidated.

(6) Expenses for day trips, local travel, and commuting will not be covered.

(7) Trips to conventions, conferences, meetings, etc., will not be covered.

(8) Trips for the sole purpose of consulting with people will be covered only if the Fellow can show that the person can provide essential information to the Fellow's project that cannot be acquired from any other source or by any other means.

(9) Moving expenses for personal items and the shipment of books and other research materials will not be covered.

(10) Meals and lodging, or per diem, while away from home will not be covered.

(11) Research expenses will not be covered.

8. Acceptance and Certification

Fellows should complete the Acceptance Form to accept their awards.