



National
Endowment
for the
Humanities

Division
of Research
Programs

Guidelines and
Application
Instructions

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Basic Research

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The Basic Research Program

The Basic Research Program provides support for a wide range of scholarship in the humanities through grants in four categories: Project Research; Research Conferences; Travel to Collections; and Humanities, Science and Technology. Projects funded in this program are expected to lead to new knowledge or critical understanding in one or more humanities disciplines and to publishable research products such as books, monographs, and articles.

Eligibility

HUMANITIES, SOCIAL SCIENCES AND THE ARTS

The central disciplines of the humanities are history, languages, literature and philosophy. In addition to these, the legislation which established NEH mentions several other disciplines, each of which has to do with the study of human experience, expression, or belief. These are linguistics; archaeology; jurisprudence; history, theory, and criticism of the arts; ethics; comparative religion; and those aspects of the social sciences that employ historical or philosophical approaches. Researchers who are oriented to disciplines not included in this definition should consult with NEH staff about eligibility and opportunities for support at other funding agencies such as the National Science Foundation and the National Endowment for the Arts.

Projects which rely exclusively or primarily on statistical analysis, mathematical modelling, survey research, clinical practice, oral history or ethnographic interviews are rarely successful in competing for NEH grant funds. Projects which integrate these approaches with traditional humanities methods, such as the critical interpretation of documents, artifacts, and texts, or the testing of philosophical models, are eligible and encouraged to apply. Scientific or social scientific methods are most appropriate when used to address research issues which are of central concern to current scholarship in one or more humanities disciplines. Applicants should demonstrate the relevance of their research to such issues.

Endowment research grants are intended to advance original thought and scholarship in the humanities. The anticipated benefit of proposed research to humanities scholars is thus a prime consideration in the evaluation of projects. Proposals which meet this criterion and which also promise to address a general readership are particularly welcome. The program does not fund projects whose purpose is to develop predictive models to be used in policy studies or clinical or educational practice. Nor does it support artistic

performance or films, exhibits, or other public programs.

FELLOWSHIPS OR RESEARCH GRANTS

NEH provides two types of support for research in humanities disciplines: fellowships and research grants. Fellowship awards are administered by the NEH Division of Fellowships and Seminars. Research grants are administered by the Division of Research programs. Applying to the wrong program can delay or otherwise compromise an application's chances for success. Applicants who are uncertain as to the most appropriate program for their project should consult with NEH staff. There are several criteria for determining whether to seek a fellowship or a research grant:

Duration

Fellowships are awarded for one year or less; research grants can extend up to 36 months. The determining factor should be that the nature of the research, not the convenience of the researcher, requires a sustained effort.

Fellowship holders typically work full-time on their project during the tenure of their award. Research grants can provide support for a combination of full or part-time efforts, as required by the nature of the project and the research design.

Product

Research grants are intended to lead to a specific product, usually a substantial publishable work such as a book or a series of articles. Such products can include works of individual authorship developed in a coordinated project as well as collaborative works. Fellowships usually lead to publications as well but are intended to enable individuals to develop their personal ability to make a contribution to the humanities as scholars, teachers, or interpreters of the humanities to the public.

Collaboration

Fellowships are awarded only to individuals. Projects that require coordinated or collaborative efforts are supported through research grants. Such efforts may involve two or more scholars working or conferring systematically together or to various combinations of individual researchers and consultants, research assistants, clerical, or technical support personnel. Most research grants are made to institutions, although individuals are eligible recipients.

Types of Support

Fellowship awards can be used only for salary support and travel. Research grants support salary, travel, and indirect costs, plus other reasonable costs which are essential to the successful completion of a project. Such costs may include computer costs, equipment costs, costs of research assistance and consultants. Tuition costs are not eligible unless provided by an institution as part of the remuneration of research assistants employed on a NEH-funded research grant.

Archaeology

All archaeology projects are reviewed in this program. This includes individual and shorter term projects in any aspect of archaeological scholarship, including art history and ethnohistory projects which rely primarily on the analysis of excavated materials.

DISSERTATION RESEARCH AND CURRICULUM PROJECTS

The Endowment does NOT support research in pursuit of an academic degree. Projects concerned primarily with curriculum development should be directed to the NEH Division of Education Programs.

INSTITUTIONAL AND CITIZENSHIP CRITERIA

Institutions in the United States engaged in the humanities and individual United States citizens or foreign nationals who have been living in the United States or its territories for at least three years at the time of application are eligible to apply to the Division of Research Programs. Support may also be given to any individual or organization whose work promises significantly to advance knowledge and understanding of the humanities in the United States. Foreign nationals who do not meet the residence requirement may apply if they are formally affiliated with a United States educational institutional and in these cases must apply through the institution.

PRELIMINARY INQUIRIES AND PROJECT SUMMARY

Because research projects are, for the most part, collaborative or coordinated efforts, the proposals tend to be rather complex. Further, the competition for funding is severe. It is important, therefore, that applicants make preliminary inquiry during the early stages of planning the project, well ahead of the application deadlines. The staff can frequently direct applicants to programs that would be appropriate for their projects and provide specific program guidelines. It is recommended that at least eight weeks before the application deadline applicants submit a summary (up to five pages in length) of their project and its estimated cost as a means of soliciting specific counsel from staff.

I. Project Research

TYPES OF PROJECTS

Through the Project Research category, the Basic Research Program supports research in all fields of the humanities. The most successful proposals in this category are those which promise to advance knowledge, original thought, or critical understanding in a field or fields of the humanities. We encourage applications involving traditional humanities disciplines and methods and also scholarship which crosses conventional disciplinary or institutional boundaries. Archaeology projects are funded in this category, as are projects formerly funded in the Regional Studies category.

CENTERS FOR COLLABORATIVE OR COORDINATED RESEARCH

The program makes a limited number of grants to institutions which wish to establish a research center or a similarly structured program for research focusing on a single topic or a series of closely related topics. NEH support for such centers is available on a limited basis only (three to six years) and is intended to stimulate research in new areas or to make use of research materials in new ways. Collaboration or the coordination of individual efforts should be a central feature of the research process and may involve senior and junior scholars and visiting scholars (including visitors from abroad) as well as researchers from the host institution. It is expected that the projects will lead to specific products, such as a series of essays or monographs that represent a significant advance in the discipline(s) involved. Proposals should explain the format of the collaboration, how it is expected to enhance the research process, and how visiting scholars are to be chosen.

REGIONAL STUDIES

Applications of the type that were previously considered under the Endowment's State, Local and Regional Studies category (changed to Regional Studies in 1982-1983) can now be considered under the Project Research category. Such applications should propose basic research on the history and customs of American states (including Puerto Rico and the District of Columbia), regions (including border regions in North America and the West Indies) and communities (including tribal and ethnic communities). Projects which plan comparative studies or which deal with multi-state regions are eligible for outright funding, with a cost share requirement of 20 percent or more in institutional awards. When a project deals with a single state or locality, the Endowment will support no more than 50 percent of the budgeted costs. Grantees can provide the remaining 50 percent by raising gifts from non-Federal sources which are eligible to release an equal amount of NEH matching funds, or through cash and/or in-kind contributions to the project from the grantee's own resources or from non-Federal third parties, or through a combination of these two methods. The Endowment's gifts and matching program allows non-Federal funds contributed to a project to be matched with Federal funds. For further information about matching grants, please refer to pages 8 and 11 of the Division of Research Programs general information brochure.

Projects in regional studies may draw upon various disciplines in the humanities, including archaeology, folklore, history, languages and literature, architectural and art history, and the relevant social sciences. Individuals are eligible to apply, as are state and local government agencies. All applicants should provide evidence of their ability to plan and complete a project of original research and interpretation in historical

or cultural studies. An application should demonstrate familiarity with the relevant contemporary scholarship in American studies; even when a project is restricted in scope to a single state or community, knowledge of the publications produced by similar investigations in other states or communities will provide a broader context for the project and will make it useful to students of American history and life as well as to members of a particular community. This in turn will strengthen the application in the competition for grant funds.

GENEALOGY, FAMILY HISTORY, POLICY STUDIES, PUBLIC PROGRAMS AND HISTORIC PRESERVATION

The program does not support genealogy projects or family history projects in which the research is conducted by members of the family or families being studied. Support is not available for policy studies or for projects whose primary purpose is to plan a textbook, exhibit, film or other public program. The program does, however, encourage the wider dissemination of findings from funded research through subsequent educational or public projects. Support for such projects will usually require a separate application, which should be directed to the appropriate programs in the Endowment's divisions of Education Programs or General Programs. The Research Materials and Research Resources program in this division welcome proposals of regional interest when they fit categories appropriate to these programs.

State, local, and regional history projects are often excellent candidates for support by the

NEH-funded Humanities Committee or Council in each state. (The addresses of these organizations may be found in the back of the NEH booklet, "Overview of Endowment Programs".) You will probably find it helpful to contact your state humanities committee and state or local historical society before contacting the NEH program.

If your project is concerned primarily with the preservation of an historic building or buildings in your community, you should contact the National Trust for Historical Preservation (1785 Massachusetts Avenue, N.W., Washington, DC 20006) or the Heritage Conservation and Recreation Service, Department of the Interior, Washington, DC 20243.

ORAL HISTORY

The Basic Research Program does not support oral history collection except as part of a larger research design which also includes research in archival and published sources. Projects which make use of oral history as a resource for public programming may be eligible for support from the division of General Programs, as well as from the state humanities committees. If your project involves the instruction of students at any level in the use and application of oral history techniques, you should contact the Endowment's Division of Education Programs.

If your oral history project is appropriate for support in the program, your project description should contain the following information: the training and experience of interviewers, preparation plans, criteria for selecting interviewees, interview questions, efforts to obtain full cooperation, and arrangements for transcribing, editing, and indexing tapes, where the collected materials will be deposited, and the projected cost per interview, from preparation to the final editing of the transcription. Evidence of formal training and practical experience in oral history on the part of the project director strengthens proposals.

Applicants are urged to consult the guidelines of the Oral History Association (North Texas State University, P.O. Box 13734 N.T. Station, Denton, TX 76203) on research principles, informant rights and obligations incumbent on researchers. Several books on oral history techniques are available from the American Association for State and Local History (708 Berry Road, Nashville, TN 37214).

HUMANITIES PROJECTS IN FOLKLORE AND ARTS STUDIES, PHOTOGRAPHIC AND FILM STUDIES

Projects involving the history, theory and criticism of the arts rather than performance are eligible for NEH support. Joint funding with the National Endowment for the Arts is possible in some cases. Photographers should contact the Visual Arts Program at NEA; the Basic Research Program supports photographic projects only when the final product focuses on the scholarly interpretation of visual material. The program does not support publication projects (such as photo essays) which are not derived from scholarly research.

The Basic Research Program supports basic research in folklore and folklife studies. Folklore projects involving the community or with a public component should be directed to the Division of General Programs. Folklore projects may also receive support from the NEH-funded state Humanities Committees, particularly when the project is focused on a specific locality or state. At NEA, the Folk Arts Program provides grants to projects around the country for all arts and ex-

pressive forms of folklore. For detailed information on sources of funding for folklore and folklife projects you may wish to write to the Director, American Folklife Center, Library of Congress, Washington, DC 20540, for the brochure entitled, "Where to Turn for Help in Folklore and Folklife."

HUMANITIES PROJECTS IN ARCHAEOLOGY

The Basic Research Program supports archaeology projects which enlarge our perspective on history, including culture, the arts, trade and commerce, technology, and systems of belief. Support is available for American and foreign archaeology, including survey, excavation, materials analysis, laboratory research, preservation of artifacts, and pre-publication preparation of manuscripts. If your project is concerned primarily with scientific or social scientific questions, please contact the anthropology section of the National Science Foundation Program in Behavioral and Neural Sciences. The NSF Anthropology Program supports basic research in archaeology emphasizing an anthropological perspective and spanning all topics, geographic areas, and scientific methodologies. This includes support of systematic research collections; research into human origins; the interaction of population, culture, and environment; and improved methods of radiocarbon and other techniques of dating and analysis. Grants for basic research are made at the senior level and for the improvement of doctoral dissertations. The NSF Anthropology Program does not fund projects whose primary objectives are museum exhibits, public outreach programs, or scientific training.

If your project is strong in both the humanities and the sciences, it may be eligible for joint funding. If you wish to apply for joint funding, or are uncertain as to the most appropriate agency for your project, please contact both the NSF and NEH staffs.

The criteria for evaluating archaeological projects are the significance of the project to the field as a whole and the importance of the unsolved problems on which the project focuses; the use of innovative procedures that promise to make contributions to the direction of further research in archaeology; and the urgency of the proposed research. The criterion of urgency includes the threat of destruction of a particular site or region or the predictably rapid deterioration of an area requiring prompt investigation and/or salvage.

In all long-term interdisciplinary undertakings, the project director should indicate the commitment of the personnel to provide continuity in the excavation seasons and through the publication phase. The Endowment does not support projects designed primarily for the training of students. Therefore, travel and per diem costs for either graduate or undergraduate students may be included in the project budget only when their contribution to the project's research goals is fully justified in the project description and they will not receive course credit for their participation in the project.

SURVEY WORK

Applicants who propose to initiate a major expedition should have conducted preliminary survey work. If such a phase has been completed, your application should include a report, plans, maps, and photographs. If no such investigation has been made, applicants are advised to request an initial grant to fund such a survey season. Regional surveys are considered to be useful, and sometimes indispensable, complements to site surveys. The program has observed that conscientious surface surveys and judicious test excavations have helped prevent fruitless expenditures of time and money.

EXCAVATION: PROJECTS IN THE UNITED STATES

Applicants interested in undertaking American archaeological projects should contact their State Historic Preservation Officer before contacting NEH in order to determine how their research is related to other current state projects. The State Historic Preservation Office will explain the procedure for nominating a site to the National Register and discuss the availability of funds from other existing Federal programs if there is direct Federal involvement in the project.

The Interagency Archaeological Services Office in Washington, DC can also provide information about Federal archaeological programs. Archaeological research, surveys, excavation, and the preservation of areas, sites, or buildings placed on the National Register are eligible for support on a matching basis under the 1966 National Historic Preservation Act. Funds for historic preservation, survey, acquisition, and rehabilitation may be available from HUD under the Housing and Community Development Act of 1974. For further information, the applicant may write to: Interagency Archaeological Services, Heritage Conservation and Recreation Service, Department of the Interior, Washington, DC 20243, or The Secretary of Housing and Urban Development, Washington, DC 20410.

The Endowment is particularly interested in encouraging research that cannot be supported by any other Federal agency, including the analysis and interpretation of archaeological materials.

EXCAVATION: FOREIGN PROJECTS

Since foreign archaeology projects are required to obtain permits from the host country, contact with the appropriate authority must be established prior to an award. Sufficient evidence that the permits will be forthcoming should be in-

cluded with the application. Should a work permit be denied during the application process, the applicant must withdraw from the competition. If the permit is denied or revoked during the grant period, the grant will be suspended automatically. Applicants must inform the staff of any change regarding the issuance or denial of permits.

Cooperation with the host country is highly desirable. Multi-national project teams, cooperative projects, and/or the offer of scientific-technical assistance to colleagues working in the host country may help to smooth the way for productive international research.

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

Exhibitions are encouraged as a further means of dissemination, particularly to the general public. Applicants attached to institutions with museum facilities should encourage museum officials to contact the Endowment's Division of General Programs, where support is available for the planning and mounting of temporary, permanent, and traveling exhibitions.

REPORTS

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

If your project continues beyond the maximum three-year funding period, you should be aware that renewal requests are evaluated as new applications. Renewals are never automatic, and each request for additional support should be accompanied by a detailed report on the progress of the research. The most competitive applications for renewal are those in which the research is divided into phases and the feasibility of each phase and the strength of the overall project are well documented and plans for the publication of findings are well advanced.

MATCHING AND COST-SHARING POLICIES

The Endowment will support survey and excavation projects with outright funds of up to \$10,000 per year; in no case, however, will NEH support exceed 50 percent of total project costs. The remaining costs of the project can be met by raising gifts from non-Federal third party sources which are eligible to release an equal amount of NEH matching funds, or by cash and/or in-kind contributions to the project from the grantee's own resources or from non-Federal third parties, or through a combination of these methods. The NEH gifts-and-matching program allows non-Federal third party gifts to a project to be matched with Federal money. For further information on matching grants, please refer to the Division of Research Program's Overview (general information) brochure.

MATERIALS ANALYSIS

The program encourages projects that make use of the wide range of scientific techniques developed in recent years. The use of such techniques, however, should be an integral part of a research design that is intended to address problems of research and interpretation in the humanities. Projects involving materials analysis should explore the possibility of NSF as well as NEH funding. If your project involves the use of computers, please refer to the discussion of computer projects below and address the points raised there in your proposal.

The program does not provide support for the establishment, research and development, or operating costs of technical programs (archaeometry, radiocarbon, paleobotany, paleozoology) and provides support for technical analyses only insofar as they relate to discrete research projects.

PREPARATION FOR PUBLICATION

In order to encourage the publication of archaeological monographs, the Endowment will accept proposals for prepublication research. In the interest of disseminating archaeological reports quickly, some of the costs of preparing camera-ready copy and illustrations for offset printing may be included, where that means of dissemination is appropriate.

PREPARATION OF PROJECT RESEARCH PROPOSALS

Research grants are available only through formal application to the appropriate funding category in accordance with the schedule of deadlines

found in the front of this booklet. A completed application consists of four parts, three of which—the cover sheet, summary page, and budget—should be completed on the standard forms found in the back of the booklet. The fourth part is the project description, which should be prepared on standard 8½ by 11" typing paper. Material which is intended as a supplement to the proposal, such as resumes or samples of previously published work, can be included in appendices. The names and addresses of three persons qualified to review the proposal should be listed in the last page of the application; these persons should not be employees of the applicant's institution or otherwise be expected to benefit financially if the proposal is funded. Twenty-five copies of the completed application must be submitted.

Project Description

The project description should explain the scope and significance of the project. It should establish a need for the research and a rationale for addressing this need in the manner you propose. How does your project relate to other work in the field or in related fields? A complete review of pertinent research is not required, but you should demonstrate your understanding of related work in relevant humanities disciplines, including unpublished as well as published research.

Research Design

The scope of your project, its organization, and plan of work are matters of prime concern in its evaluation. A successful application is characterized by a strong conceptual framework and clearly formulated research questions. Sound preparation for undertaking the project should be evident in the proposal, as well as an awareness of the difficulties likely to be encountered.

The project description should demonstrate your knowledge of the nature and location of

necessary source materials and indicate your prospects of access to the pertinent collections of research materials. If individuals are to be interviewed, their cooperation must be assured. If communities such as tribal communities are to be studied, you should discuss how the results of your research will be made available to the community.

You should formulate a plan of work that promises effective use of your resources of time, money and expertise and a successful completion of the project within the time frame you propose. Travel requests should be carefully justified and correspond to the details of the work plan. If visas will be required in the course of this travel, you should provide evidence that you can obtain them.

If your research design includes the use of a computer, oral history, or archaeological work, be sure to read the discussions of these methods in this booklet and address the issues raised there as they pertain to your research.

Personnel

The responsibilities and qualifications of all project personnel should be carefully delineated. Resumes listing the project-related qualifications of the professional staff should be provided. In collaborative projects, you should describe in some detail the format of the collaboration and state how this collaboration is expected to enhance the research process.

NEH does not fund research leading to a degree. A Ph.D. is not required for eligibility, but all professional members of a research team must demonstrate the capacity to do advanced independent research in the humanities and should identify past accomplishments which give evidence of the ability to undertake the project as proposed.

Budget

The average grant in the Basic Research Program is about \$40,000 annually, but there is no fixed upper limit to the level of funding. Applicants with budgets amounting to \$100,000 or more should contact the program staff before submitting a formal proposal. Such applicants should also explore the NEH gifts and matching program through which gifts from non-Federal third parties can release an equal amount of NEH matching funds. Further information on matching grants can be found on pages 4 and 8 of the Division of Research Programs general information brochure.

Project expenditures should grow logically out of the research design described in the project description and should be set out on the standard NEH budget forms provided at the end of this booklet. Institutional applicants should provide a cost-share equal to at least 20 percent of total project costs. A 50 percent cost share is required in certain types of archaeological or regional studies projects and may also be required in renewal awards. In some cases, renewals are made on a matching basis only.

Research funded in this category is expected to result in a publishable book or series of interpretive articles or monographs. A brief outline of the proposed book or articles is often helpful, as is a discussion of the publication plans. In cases (such as research conferences or philosophical institutes) where publication is not expected as a direct result of the grant, applicants should explain how the project is expected to advance research in the relevant humanities fields. The Basic Research program does not fund exhibitions or films. If your plans include these modes of dissemination, you should contact the NEH Division of General Programs, which supports humanities projects in media, museums, historical organizations and public libraries.

Your state humanities program is another possible source of support for public programs, including lecture series and mixed-media projects.

Computer Guidelines

Note: These guidelines apply whether computer time is charged to the Endowment or is cost-shared.

Applicants whose projects require the assistance of a computer or a word-processor are asked to include a statement describing the use to which the equipment will be put. If use is expected to be minimal, applicants should consult with NEH staff to determine the degree to which these instructions are applicable.

If a computer consultant is included in the personnel for the project or has been serving as an advisor in its preliminary stages, it is important that he or she have an opportunity to look over these guidelines so that the most informed response can be provided. If computing service is being provided by the computer center or similar facility at the sponsoring institution, the individual responsible for working with the staff of the project should examine these guidelines so that knowledgeable advice can be obtained in the planning stages of the application. Similarly, if a vendor is being used, an analyst from the firm should be asked to review these guidelines. Finally, where a vendor or a university computer center will provide services for a project, a letter confirming the arrangements between the computer facility and the project, signed by someone able to commit the organization, should be provided with the completed application.

Note: All material developed in accordance with these guidelines should be organized in a separate, clearly identified section of the completed application.

RATIONALE FOR USING THE COMPUTER

Please indicate the amount and type of material to be treated in this project. What in particular about the work being undertaken requires the assistance of a computer? Discuss the design of the product which will result. Describe the character and source of the data you expect to use and your plans for transcribing and coding the data for computer use. Explain the statistical outputs to be yielded by computer processing and how these statistics relate to the research questions that frame your investigation.

COMPUTING HARDWARE

Describe the computing facilities to be used as they pertain to the project at hand. What are the input, processing, and output capabilities of the hardware? Discuss any specialized hardware required by the project.

Computing Software

Are new or existing programs being used to process data and control output? If a standard program is being employed, briefly describe its use and why it was chosen for this project. What other software was considered and why was it rejected? If new programs are being created, describe their functions, their relation to existing programs, and specify the language in which they will be written and the rationale for its choice. The need to develop new or additional software should be thoroughly justified in the narrative of the computer section of the application.

If documentation is available for extant software, please provide a brief commentary on the modules of the software. Also, please identify the person who will provide any additional programming and include a curriculum vitae for him or her with the vitae for the personnel on the project.

INPUT

In view of the various inputting options available (CTR terminal, OCR, punched cards, etc.) what mode will be used for this project and why? What is the volume of data (number of entries)? What is the length in characters for a typical record? Briefly describe the record format for the data elements. What kinds of access to the data, in the form of sorts, searches, or indexes will computer processing provide?

USES AND DISTRIBUTION OF OUTPUT

What form will your output take and how does this fit into your research design? What other potential uses, apart from your project, can be made from the encoded data and outputs? Please provide evidence of other scholars' readiness to make use of your data, if you anticipate such use, and discuss your or your institution's plans to make the data available to other researchers.

COSTS

It is expected that organizations applying for grants in support of computer-assisted projects already own, or will purchase their own, computer equipment. In such cases the project budget may include a usage fee. The usage fee should be based on the useful life of the equipment and on a reasonable assessment of the percentage of the total time available on the equipment that the project will require for its completion.

If you intend to have the NEH grant support the purchase of the equipment, you must justify this purchase in your proposal. The Endowment considers lease-purchase agreements to be purchases of equipment and, in the event purchase is allowed, will accept costs up to the amount allowed for an outright purchase. Interest included in the costs, however represented, is unallowable.

In general, whenever the plan is to use the equipment on the project for a relatively short period or less than full time, the costs should be proposed on a regular rental basis. Details in arriving at all costs should be provided in the proposal.

Please provide an average cost-per-line, cost-per-entry, or costs for other appropriate unit with a rationale for these calculations. (Include both worker-hours and machine costs in your estimate.) If you have the option of using organizationally-owned equipment or of renting or purchasing from an external source, these calculations should show the comparative costs entailed in the choice. An analysis of this kind will help evaluators better assess the use of the computer and its expense for your project.

All equipment purchases and use fees must conform with those Federal cost principles applicable to your organization.

DATA BASE MAINTENANCE

If a data base is established with this project, provide a rationale and an explanation of how it will be maintained and updated. If you choose not to update a data base, please explain why. In the event that a data base is to be supported wholly or in part by users' fees, explain the services to be provided and include a tentative rate schedule.

NON-EXCLUSIVE LICENSE

As a condition of an award from the Endowment, grantees are expected to provide on request and for the cost of materials, reproduction, and postage any software documentation for programs or services provided by a data base to this agency or other federally funded project. It is further urged that an article describing the strategy behind any new programming and the logic for its creation be published as soon as it is feasible in an appropriate journal for the benefit of the scholarly and computing community.

Research Conferences

PURPOSE

This category supports a limited number of conferences, symposia, and workshops to enable scholars to discuss and advance the current state of research on a particular topic or to consider means of improving conditions for research or inquiry. These meetings should be designed to accomplish objectives that cannot be attained by other means or without Endowment support. Younger scholars as well as senior scholars should be invited to participate, and the meeting should appeal to as large an audience as is commensurate with the requirement for success. Normally, contributing participants number from ten to twenty, audience participants from thirty-five to two hundred or more. Since this category is designed to further collaborative research, meetings for other purposes, (e.g. celebration, professional interests, education) are not likely to prove successful in this competition.

Associations, societies, and professional organizations that meet on a recurrent basis for discussion of the same general topic should not apply to this program; the funds available are intended to enable scholars to meet within the framework of a specifically delineated area of inquiry for the purpose of attaining carefully formulated objectives. However, international scholarly conferences held in the United States are eligible for support in this category. Proposals for meetings in foreign locations are rarely funded.

In the evaluation of applications, special emphasis is placed on the potential of the conference to advance research on a significant problem; on the practical design of the meeting; on the efficient construction of circumstances which will furnish an optimal situation for the exchange of information; and on the experience and ability of the applicant to manage successfully the entire course of the enterprise. Normally those applications are most successful which propose confer-

ences which are manageable in size; focused on the state of the art or new directions in the field rather than devoted solely to celebration or commemoration of a person, topic, or event; and committed to providing some diversity of viewpoints rather than one perspective.

PREPARATION OF PROPOSAL

Research conference grants are available only through formal application in accordance with the schedule of deadlines found in the front of this booklet. A completed application consists of four parts, three of which—the cover sheet, summary page, and budget—should be completed on the standard forms found in the back of this booklet. The fourth part is the project description, which should be prepared on standard 8½ by 11" typing paper. Resumes and a tentative program for the proposed conference should be appended to the project description. The names and addresses of three persons qualified to review the proposal should be listed on the last page of the application; these persons should not be employees of the applicant's institution or otherwise be expected to benefit financially if the proposal is funded. Twenty-five copies of the application must be submitted.

Project Description

Proposals should be written in language intelligible both to experts in the field and to non-specialist scholars. Applicants should justify the need for the meeting in terms of the current state of the topic or field. They should indicate the specific issues to be addressed as well as the participants (tentative, if necessary), why they were chosen, and the topics on which they will speak. It is also important to include a tentative program schedule. Applications should be submitted near the end rather than the beginning of the planning process, when it should be possible to present a fairly firm list of speakers and topics. In general, the more cogent the explanations and the more intelligible the shape and purpose of a proposal, the more successful it will be.

Budget

Levels of funding normally range from \$2,500 to \$10,000. Applicants should consider the possibility of applying for matching grant support, particularly when the funds exceed \$10,000. Further information on matching grants can be found in the Division of Research Program's Overview (general information) brochure. The following expenses are allowable and should be itemized in detail in the budget: a modest amount of released time for the principal investigator(s); secretarial and/or administrative assistance; tourist-class travel and per diem for contributing participants; expendable office supplies; rental equipment, publicity, postal and telephone costs; indirect costs.

Duplication costs may be requested for the dissemination of typescript contributions, results of the conference and/or other information about the meeting. Expenses for editing conference papers may also be allowed, but requests for pub-

lication costs should be made to the Publications Program of the Research Division.

Because contributing scholars benefit in many ways from their participation at such meetings, requests for honoraria normally should not be made. Where exceptional circumstances require honoraria or consultant fees, they should be modest (\$100 to \$300) and carefully justified.

The costs of banquets, receptions, and entertainment should not be included in the budget.

If registration fees are to be charged, the amount should be modest and specified in the proposal. Registration fees are considered to be program income and should be used either to cover costs included in the project budget or additional project costs. Registration fees may not be calculated as part of the 20 percent institutional cost sharing required in this category.

All participants should be encouraged to apply to their parent institutions for assistance with travel costs. For international meetings in this country, foreign nationals should apply to their own governments for travel assistance. A statement concerning these efforts should appear in the project description.

Travel to Collections

Guidelines and application procedures for this category may be obtained by writing to:

Basic Research Program
Travel to Collections Awards
NEH MS 319-G
1100 Pennsylvania Avenue, NW
Washington, DC 20506

Humanities, Science and Technology

Through this category the Endowment seeks to improve the ability of the humanities to interpret, analyze and assess science and technology. The category supports research that takes science and technology as its subject matter and employs the theories and methods of humanities disciplines.

Three kinds of awards are available:

1. NEH Research Awards
2. NEH-NSF (EVIST) Individual Awards
3. NEH-NSF (EVIST) Multidisciplinary Research Awards

The first supports research on a broad range of topics of contemporary or historical significance. The second and third fund research on ethical and values aspects of contemporary issues that involve science and technology; the Endow-

ment and the Ethics and Values in Science and Technology (EVIST) program at the National Science Foundation jointly review and fund proposals for these awards.

For guidelines and application materials write to:

Humanities, Science and Technology Projects
Basic Research Program
NEH MS 319-G
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506

or

Ethics and Values in Science and Technology
National Science Foundation
Washington, DC 20550

Application Instructions

INTRODUCTION

All applicants are urged to discuss projects with program staff before completing an application.

APPLICATION PARTS

A complete application consists of six parts arranged in the following order:

- A. NEH Application Cover Sheet;
- B. Summary Sheet;
- C. Budget;
- D. Complete project description;
- E. Curriculum vitae (or other appropriate biographical summary);
- F. Listing of three reviewers chosen by the applicant

Directions for the completion of each of these parts can be found in these instructions. Forms to be used for items A, B and C above are enclosed. In addition, the applicant is required to fill out (as instructed) all other forms contained in these instructions.

Certain supporting materials may be required as an appendix to an application. Consult program guidelines for further information.

PREPARATION OF AN APPLICATION

Cover Sheet

The instructions for filling in the NEH Application Cover Sheet are contained on the left side of the form. The following instructions for the Division of Research Programs are intended to supplement the general requirements.

Block 2: If you are applying through an institution do not check "individual" box. Only applicants applying as unaffiliated individuals should check the "individual" box.

Block 4: Indicate in the parentheses the appropriate area within the program of Basic Research to which application is being made.

Block 6: For an explanation of these funding distinctions see Instructions for Completing Budget Form page 18.

Block 9: Please note that a more extensive project description is required on the Summary page.

Block 10: If you have submitted the project for funding to another source but have not yet learned the result, give details. If the funding has been approved, note amount and source.

Summary Page

Information given at the top of this page should be consistent with that provided on the NEH Cover Sheet.

- The signature of the Project Director must appear in the space provided. If applying as an unaffiliated individual, the applicant alone must sign here.
- In the project summary, give a succinct statement of the purpose, significance, plan, and expected results of the project. Also indicate the principal use of the funds requested. The summary *must* be limited to the space provided, but should be a carefully prepared precis of the project. In the review process, outside reviewers and panelists receive the complete application to evaluate. The summary of the project, however, is the principal document seen by the National Council on the Humanities during its quarterly meetings.

Budget Information

Affiliated applicants should consult with their appropriate administrative offices in the preparation of the budget.

Directions for the preparation of the budget, as well as NEH's budget forms, are enclosed later in these instructions. In addition, **please note the following general information:**

Salaries

The Endowment can supplement sabbatical or academic leave pay to provide a combined sum equal to the usual academic year salary.

Unaffiliated individuals may request a salary figure computed at the monthly rate they last commanded or would command if employed otherwise than on the research project.

Purchase of equipment

Applicants may not request Endowment funds for the purchase of permanent equipment unless the cost of rental can be shown to exceed the cost of purchase.

Travel Costs

Costs for travel should be consistent with those normally allowed by the institution in its regular operations. In those cases where there is no institutional travel policy, *Federal Travel Regulations* may be used for guidance.

MAILING INSTRUCTIONS

Application materials should be mailed to:

Division of Research Programs
National Endowment for the Humanities
Room 319
Washington, DC 20506

A complete application package should contain (where required by the program):

- the full application in sufficient number (see following paragraph)
- three extra copies of the Summary sheets

Note: Please collate and secure all copies of the application. Applicants should retain a copy for their own file.

The number of copies listed are necessary so that the program staff will be able to send them to outside specialist reviewers and panelists for their evaluation of the application. The number of copies of the full application will vary according to the program to which application is being made. At the time of application, send the application in number of copies below:

- Basic Research (Project Research) **25 copies**
- Research Conferences **15 copies**
- Humanities, Science, and Technology **25 copies**

APPLICATION DEADLINE

The materials must be postmarked no later than the deadline date for the appropriate program; a schedule of deadlines is provided in this booklet. These materials should contain the full body of information the applicant wishes to constitute his or her application. Should major changes affecting project personnel or the budget occur after the deadline, the applicant should arrange with Endowment staff to have this information submitted (in sufficient copies). Within 3 to 5 weeks of receipt, the Endowment will notify the applicant and the authorizing official of the log number assigned to the application. All subsequent correspondence concerning the application should refer to the log number and the name of the Project Director.

Instructions For Completing Budget Form

(except for Publications Program)

The instructions provided below are applicable to research projects and are keyed to the sections of the project budget form on the following pages. Before completing the budget form, the applicant should review these instructions carefully. Each copy of the proposal which is forwarded to the Endowment should include a detailed and complete project budget.

I. Type of Budget Submission: Check the appropriate box; if the applicant or grantee is submitting a revised budget, the identifying application or grant number assigned by the Endowment should be indicated.

II. Applicant Organization: Provide the official title of the organization/group. A person submitting an application as an unaffiliated individual should insert "none" in this space.

III. Date Prepared:

IV. Project Title should be the same as that shown on the application cover sheet.

V. Project Director is the person who will undertake the project or be chiefly responsible for directing it.

VI. The Grant Period encompasses the entire period for which Endowment funding is requested in the current application. The maximum period for which funding may be requested in an application is 36 months. (When the grant period covers only a portion of the time required to complete a project, the applicant will provide in the description of the project specific information on the time and funding needed to realize all the project goals.)

Please refer to the section in the guidelines which provides information on application deadlines. Listed next to each application deadline is the earliest date that a project submitted against that deadline may begin.

VII. Project Costs are those expenses which will be incurred during the grant period to accomplish project objectives.

All project costs must be

- for services rendered or materials used during the grant period;
- verifiable from the grantee's records;
- necessary and reasonable for the proper and efficient accomplishment of project objectives; and
- types of charges which would be allowable under the applicable Federal cost principles.

The **SUMMARY BUDGET** is a recapitulation of the detailed itemization of project costs which the applicant will provide on pages 2 and 3 of the budget form. *All project costs which will be supported by Endowment funds and cost sharing contributions, whether cash or in-kind, should be listed in the Summary Budget.*

VIII. Project Funding consists of funds which the applicant requests from the Endowment and cost sharing which will be provided by the applicant or non-Federal third parties to cover project expenses during the grant period.

(1) Under **Requested from the Endowment**, list the amounts of outright (non-matching) funds and/or matching funds which are requested from the Endowment. (Applicants who request Endowment matching funds should refer to the note at the end of this section before completing the budget form.)

(2) Under **Cost Sharing** (a) indicate the cash contributions to the project, i.e., the amount of funding which will be provided by the applicant for the project and the sources and amounts of other

cash contributions, such as grants and donations, which will be made directly to the applicant by non-Federal third parties, to cover project expenditures and **(b)** if in-kind (noncash) contributions, such as donated services and materials, will be made to the project by the applicant or non-Federal third parties, list the type, source, and value of each contribution. (Only those items for which the applicant will not have to outlay funds should be listed as in-kind contributions.)

Applicants may not include as a cost sharing contribution to the project funds paid by the Federal Government under another assistance agreement (unless the agreement is authorized by Federal law to be used as cost sharing) or funds which the applicant contributes to meet the cost sharing requirement of any other Federally-assisted program.

Note: The Endowment is authorized to match gifts which are given to a grantee or prospective grantee of NEH for a specific project as well as gifts which are made directly to NEH on behalf of the project. Applicants who plan to fund a portion of the project costs through NEH will be requested to match should list the matching funds in section VIII (1) of the Project Budget form and the sources and amounts of gifts in section VIII (2) a. In the event that the donors and the amounts of gifts have not been identified at the time the application is submitted to NEH, the applicant should enter "various donors" and the total amount of anticipated gifts in the space provided under cash contributions.

The Division of Research Programs usually expects in the Basic Research Program that the grantee institution provide a minimum of 20 percent of total project costs as its contribution to the project. Certain archaeological and regional studies projects require a higher cost share, as explained in the program guidelines. For projects in the Reference Works Program, the institution's contribution should amount to at least 20 percent of total project costs. Applications for re-

newed funding in this program are expected to show 30 percent cost-sharing. The Resources Program requests a level of 40 percent cost sharing in most applications for outright funding.

Total Project Funding is the combined total of funds requested from the Endowment and cost sharing and should equal Total Project Costs.

IX. Under Estimated Outlay of Endowment Funds, the applicant should provide the amounts of Endowment funds required to cover project costs in each twelve-month period of the project. It is important that the figures supplied be accurate and that the outlay information cover only the grant period.

X. Institutional Grant Administrator: The signature and telephone number of the person who will be responsible for the administration of the grant, e.g., the review and approval of the project budget and plan of work, the monitoring of the institution's compliance with the terms and conditions of the award, the negotiation of revised budgets, etc. The signature indicates this official's approval of the budget and the agreement of the institution to cost share project expenses at the level indicated in the budget submission.

XI. Budget Itemization: In this section of the budget form, applicants will provide the budget detail to support the amounts entered in the Summary Budget. Applicants should note the following:

(a) All project costs which will be incurred during the grant period and will be supported by Endowment funds and cost sharing contributions, whether cash or in-kind, should be listed in the Budget Itemization,

(b) When funding is requested for more than an 18-month period, budget itemizations for each year of the grant period should be prepared on duplicated copies of pages 2 and 3 of the budget form, and the dates for each period indicated at the beginning of the individual budget itemization,

(c) On large complex projects, it may be advisable to develop separate budget information on individual programs, functions, or activities of an overall project, and

(d) Pages 2 and 3 of the budget form need not be used if they do not provide sufficient space for budget detail. However, the applicant shall provide budgetary information in the same order and with as much supporting detail as is requested on these two pages.

Direct Costs are all costs which can be specifically identified with a project. (If an applicant has a negotiated indirect cost rate or intends to submit an indirect cost proposal to the Endowment, any costs, such as administrative salaries, fringe benefits, general overhead operating costs, which are included in the indirect cost pool should not be listed in the budget as direct costs.)

1. Salaries and Wages charged as project costs must be reasonable for the services rendered, and, in the case of grants made to organizations, must conform to the established policies and salary schedules of those organizations. Please note that this requirement applies to employees hired specifically for this project as well as regular employees of the grantee organization.

Salary support may be charged to a project on a full-time or part-time basis. However, when salary support for principal project personnel is charged on less than a full-time basis, the applicant shall explain in the project description what arrangements will be made to reduce that individual's normal workload.

Individuals who have academic appointments which provide for salary reimbursement on less

than a 12-month basis may request up to two summer months salary as a charge to the project when such support is absolutely necessary to maintain the integrity of the project.

Actual salary reimbursement for an emeritus professor will be subject to negotiation.

For each entry under salaries and wages, indicate the full-time equivalent in months which a person or category of persons will devote to the project. The full-time equivalent for faculty personnel who are paid on an academic year basis, should be listed under academic and/or summer months. For all other project personnel, the full-time equivalent should be indicated under calendar months.

The full-time equivalent in months is calculated by multiplying the fraction of a person's full-time effort for which salary reimbursement will be made with project funds by the duration in months for which salary is to be provided, e.g., $50\% \text{ of full-time effort} \times 10 \text{ months of salary support on project} = 5 \text{ full-time months}$; or $75\% \text{ of full-time effort} \times 6 \text{ months of salary support on project} = 4.5 \text{ full-time months}$.

2. Fringe Benefits for salaried personnel may be charged to the project as direct costs only if these benefits are not included in the organization's indirect cost pool.

3. Under Consultant Fees list payments for professional and technical consultants, stipends, and honoraria. Charges for such fees should be fully justified in the application narrative.

4. Travel Costs are the expenses for transportation, lodging, subsistence, and related items. These costs must be estimated in accordance with the applicant's established travel practice or written policy, providing that the travel results in a reasonable charge and that less-than-first-class air accommodations are used when they are reasonably available. *Foreign air travel must be performed on U.S. flag carriers to the extent available.*

In the budget itemization, list the total transportation and subsistence costs for each destination in the respective columns and the total in the

right-hand column. List the number of days in travel status for each destination. In the event that more than one person is traveling, the number of days each person is in travel status should be added and the total for that destination listed. On the summary budget, the total costs should be divided into domestic and foreign travel costs.

All charges for travel must be fully justified in the application narrative. Travel for dependents is not an allowable charge to protect funds and should not appear in the budget.

5. Supplies and Materials include consumable supplies, raw materials for the fabrication of project items, and items of expendable equipment, i.e., equipment items costing less than \$500 or with an estimated useful life of less than two years.

6. Services include the cost of contractual services related to project objectives and not otherwise classified under direct costs.

7. Other includes rental of space and/or equipment, transportation of items other than personnel, communication costs *which are not included in the indirect cost pool* of an organization, etc. Only when an applicant can demonstrate that purchase of permanent equipment, i.e., equipment items costing \$500 or more which have an estimated useful life of more than two years, will be less expensive than rental, may charges be made to project funds for purchasing permanent equipment.

Please note that "miscellaneous" and "contingency" are not acceptable budget categories.

Indirect Costs are those costs incurred for common or joint objectives which are therefore not readily assignable to the specific project activities. Typical examples of indirect costs for many nonprofit organizations may include depreciation or use allowances on buildings and equipment, the costs of operating and maintaining facilities, and general administration and general expenses, such as the salaries and expenses of executive officers, personnel, administration, and accounting.

The indirect costs of a project are normally computed by applying a negotiated indirect cost rate to a distribution base. The distribution base is usually direct salaries and wages or the total direct costs of a project, exclusive of capital items and other distorting costs. An applicant wishing to claim indirect costs on a project who has not previously negotiated a rate or whose indirect cost rate has expired, must submit an indirect cost proposal to the cognizant Federal agency, i.e., the agency administering the largest dollar amount of Federal grants with the organization. In the event that the Endowment is the cognizant agency, the indirect cost proposal should be submitted to the NEH Audit Office. An applicant wishing to delay the submission of an indirect cost proposal until Endowment funding of a project is assured may estimate its indirect costs for the project, but it should be understood that requests for payment on indirect costs cannot be made until an indirect cost rate is negotiated.

For organizations that do not have any other current grants with the Endowment or any immediate plans to submit further applications and do not wish to submit an indirect cost proposal, the Endowment will not require the negotiation of an indirect cost rate provided the indirect costs proposed are no greater than 10% of direct costs of the project, less distorting items (e.g., capital expenditures, major subcontracts, etc.), or \$5,000, whichever is less. However, the amount charged for indirect costs must be supported by the financial records of the organization. This section does not apply to grants in which the organization subcontracts essentially all of the activities of the project.

Further information on the development of an indirect cost proposal can be obtained by writing to:

Audit Office
National Endowment for the Humanities
Room 317A
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506

National Endowment for the Humanities

Washington, D.C.

The next three pages include:

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

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

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

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

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

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

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

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

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

Instructions for Completing the Application Cover Sheet

Block 1—Individual Applicant or Project Director

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

Item b. Indicate number corresponding to preferred form of address:

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

Item c. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left.

Item d. If possible, please indicate the code for the appropriate field from the "Field of Project" list found on the reverse side of the Application Cover Sheet.

Block 2—Type of Applicant

Check either a or b.

For those who checked a ONLY: Please indicate an institutional affiliation, if applicable, on line 11a.

For those who checked b ONLY: Identify *Type* such as: Business, Religious, Museum, Historical Society, Government (state, local, etc.), Public Media (TV, radio, newspaper, etc.), Educational (elementary/secondary, school district, 2 yr. college, 4 yr. college, etc.), Library (public, research, etc.), Center (advanced study, research, etc.).

Identify *Status* as either Private Nonprofit or Unit of State or Local Government.

E.g., *Type*: Historical Society. *Status*: Private Nonprofit.

Block 3—Type of Application

Check appropriate type:

- New—application for this project submitted to NEH for the first time.
- Revision and Resubmission—a version of the application for this project submitted to NEH previously but not funded.
- Renewal—application for funding a new grant period for a project previously funded by the NEH.
- Supplement—application for additional funding to a current NEH grant.

Block 4—Program to Which Application is Being Made

This information is pre-printed on your form. Pre-printed forms insure that the applicant has the correct instructions for the specific program.

Block 5—Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not

begin on the first day, but all project activities must take place within the requested grant period.

Block 6—Project Funding

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

Block 7—Field of Project

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

Block 8—Descriptive Title of Project

Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a nonspecialist. The 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 to the project for purposes of greater clarity.

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

Block 9—Description of Project

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

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

This information is sought without prejudice to the application. The Endowment frequently co-sponsors projects with other funding sources. If not applicable, indicate "N/A."

Block 11—Institutional Data

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

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

Item c. Indicate here the name, mailing address, form of address (see instructions for 1b), and telephone number of the person who will be responsible for the financial administration of the grant if the award is made. For example, at many universities the Provost, Vice President, President, or Chancellor is the person "authorized" to submit an application (see item b), but the actual administration of the project—e.g., negotiating the project budget, ensuring compliance with the terms and conditions of the award—is the responsibility of a Grants or Research Officer. It is the latter person who should be listed here.

NEH Application Cover Sheet

Form OMB-3136-0032
Expires 1/31/86

1. Individual Applicant or Project Director

a. Name and Mailing Address

(Last) (First) (Initial)

(City) (State) (Zip)

b. Form of Address

c. Telephone

Office Ext. Home

d. Major Field of Applicant
or Project Director

e. Citizenship ☐ U.S.
☐ Other (Specify)

2. Type of Applicant

a. ☐ By an Individual b. ☐ Through an Org./Inst.
If a., indicate an institutional affiliation, if applicable, on line 11a.
If b., complete block 11 below and indicate here:
c. Type
d. Status

3. Type of Application

a. ☐ New c. ☐ Renewal
b. ☐ Revision and Resubmission d. ☐ Supplement
If either c. or d., indicate previous grant number:

4. Program to Which Application is Being Made:

Basic Research

5. Requested Grant Period

From: (Mo./Yr.) To (Mo./Yr.)

6. Project Funding

a. Outright Funds \$
b. Federal Match \$
c. Total From Endowment \$
d. Cost Sharing \$
e. Total Project Costs \$

7. Field of Project

8. Descriptive Title of Project

9. Description of Project (do not exceed space provided)

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

If Yes, indicate where and when:

11. Institutional Data

a. Institution or Organization: (Name) (City) (State)

b. Authorizing Official: Name (Last) (First) (Initial)

Title: Signature: (Date)

c. Institutional Grant Administrator—Name and Mailing Address:

(Last) (First) (Initial)

(City) (State) (Zip)

Form of Address

Telephone:

(For NEH Use Only)

Date Received
Application #
Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 1d and 7 of the NEH Application Cover Sheet. If the specific field of your project is not included in this listing, select the appropriate major field. (This listing is strictly for use by NEH staff to help

retrieve information requested on grants and applications in specific disciplines of the humanities. The listing is not intended to be comprehensive, nor does it represent preferred funding categories. The "hierarchical" arrangement is for convenience.)

Anthropology L1

Archaeology U6

Archival Management/Conservation I1

Arts, History and Criticism MA

Architecture: History & Criticism U3

Art: History and Criticism M1

Dance: History & Criticism M3

Film: History & Criticism M4

Music: History & Criticism M5

Theater: History & Criticism M2

Communications P2

Composition & Rhetoric P1

Journalism P4

Media P3

Education H1

Ethnic Studies K1

Asian American K5

Black/Afro-American K4

Hispanic American K3

Jewish K6

Native American K2

History A1

African A2

American A3

Ancient AC

British A4

Classical A5

European A6

Far Eastern A7

Latin American A8

Near Eastern A9

Russian AA

South Asian AB

Humanities U8

Interdisciplinary U1

African Studies GI

American Studies G3

Area Studies GH

Asian Studies G5

Classics G7

Folklore/Folklife R1

History/Philosophy of Science,
Technology or Medicine GA

International Studies GG

Labor Studies G4

Latin American Studies GJ

Medieval Studies G8

Regional Studies GF

Renaissance Studies G9

Rural Studies GC

Urban Studies G2

Western Civilization GB

Women's Studies G1

Languages C1

Ancient CC

Asian CA

Classical C2

Comparative C9

English CE

French C3

German C4

Italian C5

Latin American C6

Near Eastern CB

Slavic C7

Spanish C8

Law/Jurisprudence Q1

Library Science H3

Linguistics J1

Literature D1

African DK

American DE

Ancient DC

Asian DA

British DD

Classical D2

Comparative D9

French D3

German D4

Latin American D6

Literary Criticism DI

Near Eastern DB

Slavic D7

Spanish D8

Museum Studies/Historic Preservation I2

Philosophy B1

Aesthetics B2

Epistemology B3

Ethics B4

History of Philosophy B5

Logic B6

Metaphysics B7

Non-Western Philosophy B8

Religion E1

Comparative Religion E5

History of Religion E2

Non-Western Religion E4

Philosophy of Religion E3

Social Science U2

American Government F2

Economics N1

Geography U7

International Relations F3

Political Science F1

Psychology U5

Public Administration F4

Sociology S1

RESEARCH DIVISION APPLICATION SUMMARY PAGE

Project Director	Total Request from NEH	Log Number
Signature of Project Director	Grant Period	
Institution	FROM	TO
Project Title		
Project Summary		
For NEH Use Only		

PROJECT BUDGET National Endowment for the Humanities Washington, D.C. 20506		III. Date Prepared _____	Page 1
I. Type of Budget Submission <input type="checkbox"/> application budget <input type="checkbox"/> budget revision		IV. Project Title _____	
II. Applicant Organization _____		V. Project Director _____	
VI. Grant Period From _____ month _____ year To _____ month _____ year		_____	

VII. Project Costs (include all charges to NEH and cost sharing funds)

Summary Budget for Entire Grant Period

DIRECT COSTS	Amount
Salaries and wages	\$ _____
Fringe benefits	_____
Consultant fees	_____
Travel domestic \$ _____	_____
Travel foreign \$ _____	_____
Supplies and materials	_____
Services	_____
Other	_____
Total Direct Costs	_____
INDIRECT COSTS	_____
TOTAL PROJECT COSTS \$ _____	

VIII. Project Funding for Entire Grant Period

(1) Requested from Endowment:

Outright funds	\$ _____	
Federal Matching	_____	
Total Requested from Endowment		\$ _____

(2) Cost Sharing

<p>a. Cash Contributions (list applicant's anticipated cash outlay and the sources and amounts of third-party donations, grants, etc.)</p> <p>_____ \$ _____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>b. In-Kind Contributions (list each item, source, and value)</p> <p>_____ \$ _____</p> <p>_____</p> <p>_____</p> <p>_____</p>	
Total Cost Sharing		\$ _____
TOTAL PROJECT FUNDING		\$ _____

IX. Estimated Outlay of Endowment Funds During Grant Period

1st twelve-month period ending _____ month _____ day _____ year	\$ _____
2nd twelve-month period ending _____	_____
3rd twelve-month period ending _____	_____
4th twelve-month period ending _____	_____
5th twelve-month period ending _____	_____

X. Institutional Grant Administrator

_____ Name and Title (please type or print)	_____ Signature	_____ Date
Telephone: (_____) _____		

XI. BUDGET ITEMIZATION for the period from _____ month _____ year to _____ month _____ year

DIRECT COSTS (Please refer to the instructions on Direct Costs before completing this section.)

1. Salaries and Wages (supply names of principal project personnel; for support staff indicate title of position only and number of persons in brackets)

Personnel	Title of Position	()	full-time equivalent in months spent on project			Amount
			cal	acad	sumr	
_____	_____	()				\$ _____
_____	_____	()				_____
_____	_____	()				_____
_____	_____	()				_____
_____	_____	()				_____
_____	_____	()				_____
_____	_____	()				_____
_____	_____	()				_____
_____	_____	()				_____
_____	_____	()				_____
_____	_____	()				_____
_____	_____	()				_____

Total Salaries and Wages \$ _____

2. Fringe Benefits (if more than one rate is used, list each rate and salary base)

rate	salary base	Amount
_____ % of \$ _____		\$ _____
_____ % of \$ _____		_____

Total Fringe Benefits \$ _____

3. Consultant Fees

name or type of consultant	daily rate of reimbursement	no. of days on project	Amount
_____	_____	_____	\$ _____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Total Consultant Fees \$ _____

4. Travel Costs

destination	transportation costs	subsistence costs	days in travel status	Amount (transp. + subsistence)
_____	_____	_____	()	\$ _____
_____	_____	_____	()	_____
_____	_____	_____	()	_____
_____	_____	_____	()	_____
_____	_____	_____	()	_____
_____	_____	_____	()	_____

Total Travel Costs \$ _____

5. Supplies and Materials (list each major type and indicate the cost computation)

type	basis/method of cost computation	Amount
		\$
Total Cost of Supplies and Materials		\$

6. Services (list each major type and cost computation)

type	basis/method of cost computation	Amount
		\$
Total Cost of Services		\$

7. Other (list each major type and cost computation)

type	basis/method of cost computation	Amount
		\$
Total Cost of Other		\$

INDIRECT COSTS

1. Rate(s) established by negotiation with Federal agency:

Amount

_____ % of \$ _____ \$ _____

_____ % of \$ _____ \$ _____

Name of Federal agency: _____

Date of negotiation agreement: _____

2. Rate requested in attached indirect cost proposal or estimate of indirect cost rate if submission of indirect cost proposal will be delayed:

_____ % of \$ _____ \$ _____

Total Indirect Costs \$ _____

Code of Ethics

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.

Equal Opportunity

The Code of Federal Regulations, Title 45, Part 1110, implements provisions of Title VI of the Civil Rights Act of 1964, and, along with Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, provides that: The National Endowment for the Humanities is responsible for ensuring compliance with and enforcement of public laws prohibiting discrimination because of race, color, national origin, sex, handicap and age in programs and activities receiving Federal assistance from the National Endowment for the Humanities.

Any person who believes he or she has been discriminated against in any program, activity or facility receiving Federal assistance from the Endowment should write immediately to: Director, Office of Equal Opportunity, 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:

This information 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 process the grant application and for statistical research and analysis of trends. The routine uses which may

be made of this information are: general administration of the grant review process; statistical summaries; and Congressional oversight and analysis of trends.

NEW KEYWORD CODE

The Endowment has begun to print on its publications code numbers identifying the academic disciplines and program types which are the subject of the publication. The experimental code system was developed in a project funded by NEH and the National Science Foundation and is being implemented by these agencies and the National Institute of Education. The object of the experiment is to enable personnel at these institutions to identify quickly the content of written materials.

1010007 0701028

0301000 0302000

0308000 0309000 0309004 0305000 0311000 0312000

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0309007 0316002 0316007 0317000

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Program Types

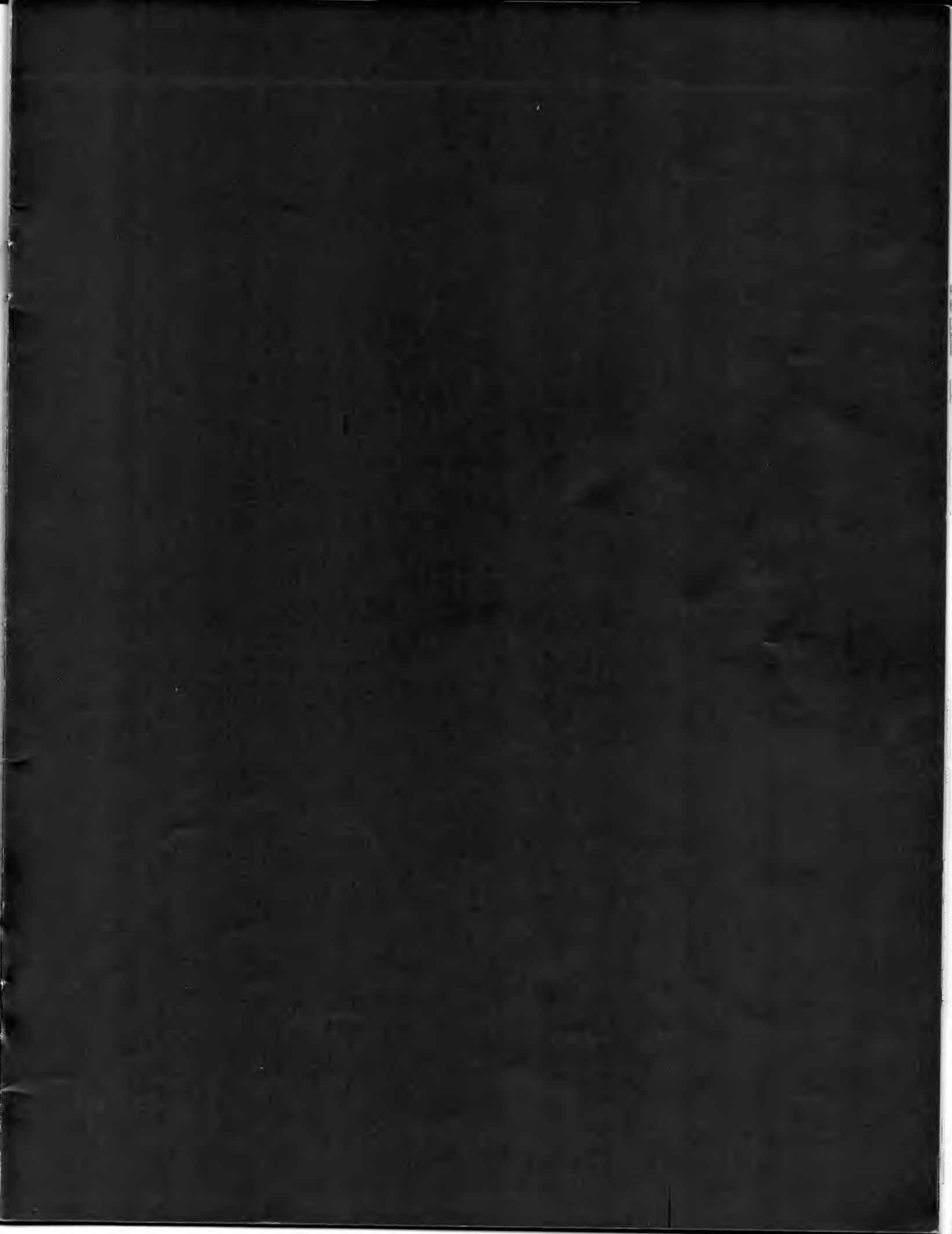
04, 30, 32, 34, 36, 42, 46, 48

Staff

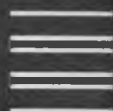
Director	Harold Cannon	(202) 786-0200
Deputy Director	Marjorie Berlincourt	(202) 786-0200
 Assistant Director for Basic Research	 John Alexander Williams	 (202) 786-0207
Project Research		
Program Officers:	Gary S. Messinger	(202) 786-0207
	Eugene L. Sterud	(202) 786-0207
	David Wise	(202) 786-0207
Program Specialist:	Anne Woodard	(202) 786-0207
Research Conferences		
Program Officer:	Eugene L. Sterud	(202) 786-0207
Program Specialist:	Anne Woodard	(202) 786-0207
Travel to Collections		
Program Officer:	Gary S. Messinger	(202) 786-0207
Program Specialist:	Eric T. Juengst	(202) 786-0207
Program Assistant:	Betty Carter	(202) 786-0207
Humanities, Science and Technology		
Program Officer:	David E. Wright	(202) 786-0207
Program Specialist:	Eric T. Juengst	(202) 786-0207
Program Secretary	Cheryl Miller	(202) 786-0207

Schedule of Application Deadlines

Program	Application Deadline	For Projects Beginning No Earlier Than:
(Basic Research Program, Telephone, (202) 786-0207)		
Project Research, including projects in archaeology, regional studies and centers for collaborative or coordinated research	March 1, 1984	January 1, 1985
Research Conferences	February 15, 1984 September 15, 1984	October 1, 1984 April 1, 1985
Travel to Collections	January 15, 1984 September 15, 1984	June 15, 1984 January 1, 1985
Humanities, Science and Technology		
NEH Research Awards	March 1, 1984	January 1, 1985
Joint NEH/NSF Ethics and Values in Science and Technology Awards	February 1, 1984 August 1, 1984	October 1, 1984 April 1, 1985



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