

## BASIC PRINCIPLES OF GRANT-MAKING

## I. Support shall be provided for:

- a) humanities projects
- b) selected in open competition
- c) on the basis of established criteria
- d) that are widely known

II. The humanities have been defined by Congress as "the study of philosophy, history, literature, language, linguistics, jurisprudence, comparative religion, ethics and archaeology; also the history, theory and criticism of the arts and those aspects of the social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to the relevance of the humanities to the current conditions of national life."

It is expected that most humanities resources are found in the academic community. In certain cases authors and researchers with an appropriate background and demonstrated current interest in the humanities, who are working either independently or on the staff of an institution such as a museum or library, would also qualify as humanists for the purpose of this program.

However, in keeping with the Congressional mandate to reach a broad general public with the best that has been thought and said in the humanities, PCHIP will continue to explore new ways of identifying expressions of the values embodied in humanities disciplines, both in the academic community and in the broader community-at-large.

III. In seeking to make the best use of its resources and to avoid duplication of effort by NEH and other funding sources, PCHIP will not support:

- A. Research, writing or publication unless intended for the purposes of public outreach in the humanities
- B. Curricular support within schools, colleges or universities except in those special cases where non-credit courses might meet the guidelines established by PCHIP
- C. Presentations in the creative or performing arts except those undertaken in support of a larger program of public outreach in the humanities

- D. Capital expenditures such as: general library or museum acquisitions or purchase of published materials; construction, restoration or preservation of facilities; purchase of major equipment
  - E. Indirect costs; (only direct costs allocable to the purposes of a specific humanities outreach program will be funded)
- IV. To encourage a broader base of support for the humanities in Pennsylvania, PCHIP will fund only up to one-half of the cost of each project.
- A. Under the regular "regrant" category, outright funds may be requested from PCHIP, with matching funds contributed by the sponsor on a cash or an in-kind basis..
  - B. Under the "Gift & Matching" category, the matching funds for support of each project must be contributed in cash from an outside donor (other than NEH)..
- V. PCHIP will continue to encourage meaningful review and evaluation of its program, both to monitor the impact of grant decisions and to permit the development of new program ideas and formats.

These basic principles of grant-making and the accompanying enabling concepts will be announced in August for a funding program to commence on January 26, 1979.

## ENABLING CONCEPTS

I. Public Policy Program

Retain PCHIP's essential commitment to the public policy program focus with the following modifications:

- Recognize public policy as a widely shared contemporary concern or broad social issue which may need address by governmental or other interests
- Abolish State theme requirement

## A. The following ground rules apply:

## 1. Size of Grants:

Grants awarded in this category (in 1976-77) averaged \$10,236. The "Gift and Matching" category should be used for requests over \$15,000.

## 2. Matching Requirement:

PCHIP will fund 1/2 the cost of each project (i.e. PCHIP funds must be matched on a dollar-for-dollar basis)

## 3. Application Deadlines: All

## B. Rationale:

## 1. Advantages of program focusing on public policy:

- a) concretely encourages application of the humanities to contemporary life
- b) brings humanists out of academe and broadens their conception of their fields
- c) provides a common meeting ground for academics and non-academics alike
- d) reaches an audience not ordinarily served by the humanities

## 2. Theme is unnecessary because:

- a) it is treated perfunctorily by applicants
- b) it is not vigorously applied in Committee review of applications
- c) it is the most frequent guideline ignored in Special Program applications

## II. Special Program

Retain the ongoing Special Program funding category encouraging expanded public outreach in the humanities

### EXAMPLES:

#### New Subject Areas:

- Pennsylvania history and culture
- the content of specific humanities disciplines
- other areas not amenable to the Public Policy program
- sample project: "Lackawanna Heritage & Popular Culture: Changing Images & Values" (a series of 5 public forums featuring dramatic readings, films, recorded music and audience/panel discussions, funded January, 1978)

#### Audiences New to the Humanities:

- children
- elderly
- handicapped
- families
- professional groups
- non-English speaking population
- Sample program: "The Vietnamese as the New Immigrants" (2 bilingual community conferences in Lancaster and Palmyra, funded April, 1977)

#### New Sponsors:

- Small, grassroots organizations
- occupational organizations (including labor unions, business and professional organizations)
- two-year colleges
- educational or research centers
- museums and libraries
- historical and literacy societies
- Sample program: "Pennsylvania Potato Farmers: Portrait of Change" (sponsored by 3 community grange associations, funded April, 1977)

#### New Formats:

- exhibitions or displays  
(Sample program: "Something of the Face of Ireland" a Pittsburgh program involving the development of a slide/tape presentation and photography exhibit relating to the traveling exhibition "Treasures of Early Irish Art: 1500 B.C. - 1500 A.D.," funded January, 1978)
- journals, newsletters or other publications  
(Sample program: "Art Criticism: Its Effect on the Art Community and the Public-at-Large" -- a special magazine publication devoted to art criticism in Philadelphia, funded September, 1977).
- interpretation of any artistic medium  
(Sample program: "Theatre: The Human Stage" -- a series of lectures by theatre historians, critics, and theorists to augment a theatre's regular performance program, funded in January, 1978)

- technical and referral services  
 (Sample program: "Dissemination of Project Materials" -- a program to disseminate companion readers and discussion guides developed by humanists for a film on community care for the mentally disabled, funded January, 1978)
- speakers' bureaus

New allowable costs:

- support for the introduction of a new program of humanities outreach into the ongoing operational structure of an established institution wishing to broaden or change its scope  
 Example: the introduction of a new kind of continuing education program into a college or university curriculum  
 (Sample program #1: "Cultural Education Program" -- a cooperative venture between a Philadelphia educational institution and area cultural institutions featuring workshops, discussion tours, lectures and special events, funded in January, 1978)  
 (Sample program #2: "Energy, Ethics and Values" -- the development of a humanities outreach program by a science museum, utilizing a computerized simulation game to focus on value questions relating to energy issues, funded January, 1978)
- support for a fledgling institution in need of short-term operational expenses  
 Example: operational support for a newly-formed organization devoted to a study of civic values

[Note: Restrictions on new allowable costs are outlined in item III of the Basic Principles of Grantmaking]

A. The following ground rules apply:

1. Funding priority will be given to applications with demonstration value in addressing new subject areas, reaching new audiences, involving new sponsors and developing new formats.
2. Size of Grants: Grants awarded in this category last year averaged \$8,919. The "Gift & Matching" category should be used for requests over \$15,000.
3. Matching requirements: PCHIP will fund 1/2 the cost of each project (i.e., PCHIP funds must be matched on a dollar-for-dollar basis)
4. Application deadlines: All

B. Rationale for continuation of Special Program category:

1. Responds to high level of public interest in Special Program category to date
2. Permits continuing emergence of new program ideas and formats
3. Serves as a testing ground for innovative programming
4. Allows the Committee periodic opportunity to assess its options with respect to any overall changes required in its programming

### III. Media Programs

Establish a category on an experimental basis for 1 year designed to encourage the production and use of media for public outreach in the humanities.

#### A. The following ground rules apply:

1. Funds may be used for any and all aspects of planning, production and utilization of media for humanities outreach. If, however, the media production is primarily for a discussion program, application should be made under the Public Policy or "Special" category.
2. "Media" as defined here means non-print communications, primarily radio, videotape, film, slide/tape, etc. (Applications for projects using print should be under "Special" category.)
3. Size of grants:

Regular "regrant" requests generally should not exceed \$15,000; the "Gift & Matching" formula should be used for requests over \$15,000.

4. Matching requirement:

PCHIP will match funds for each program in a ratio of 2 to 3 (i.e., 2 PCHIP dollars for every 3 matching dollars).

5. Application deadlines: All deadlines. Media applications must be submitted one month prior to regular deadline to permit ample time for initial study and review by a special subcommittee of the Public Committee in conjunction with a panel of outside reviewers.

#### B. Rationale

1. Non-print media are a viable means of reaching a broad public with humanities programming.
2. Past experience has shown that costs of media programs are so high that PCHIP cannot afford to fund a full 50% of total program expenses.
3. Producers of media are experienced fund raisers, and programs often are supported by grants from several sources. Hence, the increased matching requirements should be no hardship and at the same time should help the PCHIP generate additional contributions to humanities programming in the state. Part of the funds raised through media programs can be used to defray the higher costs of special staff consultation and review in all stages of project implementation, from the proposal to the final evaluation. The remaining funds can be used to support PCHIP's other program development measures throughout the state.

IV. Fellowship Program

Establish a distinct category of funding for Fellowships designed to explore the application of learning in the humanities to current concerns. Fellowship work may be undertaken through institutional residence or by individuals working independently on a topic of interest to Pennsylvania's citizens.

A. The Following ground rules apply:

- 1. Up to 5 Fellowships will be awarded a year.
- 2. Fellowships will be no less than 3 months in duration, nor longer than 1 year.
- 3. Grant applications may be from the academic community or the general public
- 4. Applicants must submit a plan for reaching the general public with research findings.
- 5. Grant recipients will be required to participate in a conference at the end of the grant period to share their findings with colleagues.
- 6. Funding limits: Up to 5 awards (each up to \$5,000) will be given a year.
- 7. Matching requirement: No matching funds required
- 8. Application Deadlines: 1 a year, beginning January 1979

B. Rationale:

- 1. Demonstrated value of PCHIP-funded research or residence even without accompanying public discussion programs
- 2. Possible emergence of new definitions of the term "humanist"
- 3. Development of new institutional linkages for PCHIP
- 4. Provides another means of breaking down the barrier between academe and the outside world either by placing humanists in non-academic settings or by placing non-academics in academic settings
- 5. Provides another means of introducing individual humanists to the public outreach possibilities of the humanities