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## HEARINGS

BEFORE THE

### COMMITTEE ON

### LABOR AND PUBLIC WELFARE

### UNITED STATES SENATE

NINETY-FOURTH CONGRESS

SECOND SESSION

ON

RONALD S. BERMAN, OF VIRGINIA, TO BE CHAIRMAN OF THE  
NATIONAL ENDOWMENT FOR THE HUMANITIES

SEPTEMBER 15 AND 21, 1976

Printed for the use of the Committee on Labor and Public Welfare



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(II)

## NOMINATION

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WEDNESDAY, SEPTEMBER 15, 1976

U.S. SENATE,  
COMMITTEE ON LABOR AND PUBLIC WELFARE,  
*Washington D.C.*

The committee met at 10:43 a.m., in room 4232, Dirksen Senate Office Building, Senator Harrison A. Williams, Jr. (chairman), presiding.

Present: Senators Williams, Pell, Javits, Stafford, and Laxalt.

The CHAIRMAN. The committee will come to order.

We are meeting this morning to hear testimony from Dr. Ronald Berman, who has been nominated to serve a second 4-year term as chairman of the National Endowment for the Humanities.

Dr. Berman was born December 15, 1930. He received his bachelor's degree from Harvard University in 1952, and was awarded his Ph. D. in English literature from Yale University in 1959.

Between these educational periods, Dr. Berman served as a Lieutenant in the U.S. Naval Reserve.

Dr. Berman spent his first career years as instructor and assistant professor at Columbia University in 1962. He moved to Ohio where he was associate professor at Kenyon College in 1965.

He moved to the University of California at San Diego where he became a professor of Renaissance literature in 1968.

In December of 1970, Dr. Berman was nominated for his first term to be chairman of the Endowment by President Nixon, and he was confirmed for that position by the Senate in early 1971.

And earlier this year, upon expiration of that first term, President Ford nominated Dr. Berman for a second term as chairman of the Humanities Endowment.

During his career, Dr. Berman has received numerous honorary degrees from institutions of higher education. In addition, Dr. Berman has written numerous books and articles, most of which have been in the field of Shakespearean and other English literature.

He was married in 1953 to his wife, Barbara. He has three children, and currently resides in Arlington, Va.

I ask that his complete biography be printed in the hearing record at this point along with some background information on the Endowment.

[The information referred to follows:]

## NATIONAL ENDOWMENT FOR THE HUMANITIES

WASHINGTON, D.C. 20506



RONALD BERMAN

Dr. Ronald Berman has been Chairman of the National Endowment for the Humanities since 1971.

Before becoming Chairman of the Endowment, Mr. Berman was Professor of Renaissance Literature at the University of California, San Diego. He taught previously at Kenyon College and Columbia University, having taken his A.B. in Social Relations at Harvard and his Ph.D. in English Literature at Yale. Mr. Berman was a Naval Intelligence Officer from 1952 to 1956. He was Associate Editor of the Kenyon Review from 1963 until 1970.

Mr. Berman is the author of a number of books and articles from the Renaissance to the contemporary American scene. His most recent book, America in the Sixties: An Intellectual History, was published in 1970. Other work has appeared throughout Europe, including that published by the Oxford and Cambridge University presses.

RONALD S. BERMAN

Born: December 15, 1930

Education: Harvard University 1948-1952, A.B., Social Relations  
Yale University 1956-1959, Ph.D., English Literature

Honorary

Degrees: Doctor of Humanities, George Washington University  
Doctor of Laws, Saint Anselm's College  
Doctor of Humane Letters, Hebrew Union College-  
Jewish Institute of Religion  
Doctor of Humane Letters, University of Maryland  
Doctor of Letters, College of Saint Rose  
Doctor of Humanities, Colorado College  
Doctor of Humane Letters, University of Florida

Career

Summary: Instructor, Columbia University, 1959-1961  
Assistant Professor, Columbia University, 1961-1962  
Associate Professor, Kenyon College, 1962-1965  
Associate Professor, University of California,  
San Diego, 1965-1968  
Professor of Renaissance Literature, UCSD, 1968-1971  
Editorial Associate, Kenyon Review, 1963-1970  
Chairman, National Endowment for the Humanities, 1971--

Directorships:

Federal Council on the Arts and Humanities  
Woodrow Wilson International Center for Scholars  
Ex Officio, National Council on Educational Research  
The United States Committee of Honor for the  
Exhibition of Archaeological Finds of the People's  
Republic of China

Military:

Lieutenant J.G., U.S. Naval Reserve, 1952-1956

Honors:

Gold Medal for Distinguished Service, Phi Beta Kappa,  
Chicago  
The Medal of the City of New York

Family: Married Barbara Barr Berman, August 27, 1953

Children: Andrew, born October 27, 1955  
Julia, born January 25, 1958  
Katherine, born February 21, 1961

Address: Business: National Endowment for the Humanities  
Washington, DC 20506

Home: 4615 North 35th Street  
Arlington, Virginia 22207

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[Excerpt from the U.S. Government Organization al Manual]

## NATIONAL ENDOWMENT FOR THE HUMANITIES

The activities of the National Endowment for the Humanities are designed to promote and support the production and dissemination of knowledge in the humanities, especially as it relates to the serious study and discussion of contemporary values and public issues. The term "humanities" includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; the history, criticism, theory, and practice of the arts; those aspects of the social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the environment.

The Endowment makes grants to individuals, groups or institutions—schools, colleges, universities, museums, public television stations, libraries, public agencies, and private nonprofit groups—to increase understanding and appreciation of the humanities. It makes grants in support of research productive of humanistic knowledge of value to the scholarly and general public. The Endowment awards fellowships for the training and development of present and potential teachers of the humanities, as well as fellowships for young professionals in fields such as journalism and law to enhance their understanding and appreciation of humanistic implications of their professions. It makes grants in support of programs designed to bring humanistic knowledge to the adult general public, both through national TV and film programs and through public discussions and media presentations generated at the regional, State, and local levels. Lastly, the Endowment provides funds in each State to local organizations generating informed dialogue among professional humanists and the adult public on policy issues of local interest.

\* \* \* \* \*

The CHAIRMAN. We welcome you here today, Dr. Berman.

We have reviewed your financial statement and it is in order.

Before I turn to my colleagues, I would be happy to recognize our colleague and friend, Senator Harry Byrd.

**STATEMENT OF HON. HARRY F. BYRD, A U.S. SENATOR FROM  
THE STATE OF VIRGINIA**

Senator BYRD. Thank you, Mr. Chairman, and gentlemen of the committee.

I shall take only a moment. I did want to be here this morning to be with Ronald S. Berman as he comes before this committee for confirmation for a second term as Chairman of the National Endowment for the Humanities.

Mr. Berman lives in the State of Virginia, in Arlington. It has not been my privilege to know him very well, but everything I know of him has been very good. I do know that he is a Shakespearean scholar.

I asked him a few moments ago which of Shakespeare's works he liked the best. He said he liked them all, but he preferred the comedies to the tragedies.

I note also that he attended both Harvard and Yale, and it takes a pretty good man to go through both of those colleges.

So I am pleased to be with Mr. Berman this morning and with this committee.

I appreciate your giving me the opportunity to say these few words, Mr. Chairman.

The CHAIRMAN. Thank you very much, Senator Byrd.

Senator JAVITS?

Senator JAVITS. Thank you, Mr. Chairman. I would like to make a brief statement.

It has been a very considerable period of months before we reached this hearing stage. Perhaps, the reason is somewhat flattering to the witness. He has made a very considerable record in directing these particular programs, as the chairman of the National Endowment for the Humanities. The members of this committee have taken a very considerable time to consider and evaluate what he has done.

I am sorry for the delay, but when a real activist like Dr. Berman gets to work on a new program, careful scrutiny like this is bound to happen, or at least may happen. And it did in this case. Even though it is late in the session we are still considering. However, it shall be my purpose to see that we act affirmatively or negatively, whatever the committee wishes—I know and have made it clear how I feel about it—upon this nomination.

Dr. Berman, I am sure that any witnesses you feel should be called will have every opportunity to state their case before the committee.

I wish to make it clear that I shall seek a vote on this matter.

The CHAIRMAN. Dr. Berman, Senator Pell is chairman of our Subcommittee on the Arts and Humanities, I will ask you for any opening statement you have, Senator Pell, but first I will recognize Senator Laxalt.

Senator LAXALT. I would like to indicate that it is a matter of great urgency that this committee take action in this particular matter. I have been exposed to it for the last several months since our meeting with Dr. Berman. I do feel in fairness to the chairman of NEH and in fairness to the program and the agency that we should take some affirmative action.

As Senator Javits has indicated, certainly before the close of this session.

That is all I wish to state at the outset.

The CHAIRMAN. Senator Pell.

Senator PELL. Thank you, Mr. Chairman.

Mr. Chairman, as you know, I have a strong interest in and concern for the role of the humanities in our society. More specifically, I have a deep concern for the successful administration of the program of the National Endowment for the Humanities, because of the potential of that program to enrich the everyday lives of Americans throughout our Nation.

As the original Senate author of the legislation that established the national arts and humanities programs 11 years ago, and as chairman of the Special Subcommittee on Arts and Humanities since that subcommittee was established more than 12 years ago, it has been my job and my pleasure to manage in the Senate four Humanities Endowment authorization bills considered by the Congress since establishment of the Endowment.

It is with this background of experience and knowledge of the Humanities Endowment that I must state, at the outset of this hearing, that I have the most serious reservations about the confirmation of Dr. Berman as chairman of the Endowment for a second 4-year term and, thus, must say that I am strongly inclined to oppose confirmation.

Let me state briefly the basis of my concern in the hope that we can explore, for the record, some of these areas with the nominee and perhaps with other witnesses.

First: It is clear to me that the Humanities Endowment, which once was the stronger and more vigorous of the sister Endowments for the Arts and the Humanities, has faltered during Dr. Berman's tenure, despite sharply increased congressional appropriations. Indeed, the Humanities Endowment today, I believe, has become a pale shadow as compared to the Arts Endowment.

Second: In an effort to strengthen the Humanities Endowment, the Senate passed legislation to create in the Humanities Endowment the concept of a Federal-State partnership that has worked so effectively in bringing forth local grassroots participation and enthusiasms in the Arts Endowment programs.

Dr. Berman characterized this proposed State-Federal partnership proposal as "wholly unacceptable" and has actively opposed it.

Third: Instead of supporting these proposals to broaden participation in the humanities program, Dr. Berman sought to continue and to strengthen a central Washington control of all activities and programs of the Endowment.

This centralization, whether it was his intention or not, has tended to cloak the Endowment programs in elitism and hindered imaginative efforts to bring the richness of humanistic studies to bear on the lives of the average American.

We are concerned here with the leadership that will be responsible during the next 4 years with the authorized expenditure of several hundreds of millions of dollars of the taxpayers' money. I believe that responsibility requires excellence in leadership, and excellence in administrative skills, to make certain that these taxpayers' dollars do have an impact in enriching American life.

I question whether Dr. Berman, during his term as Chairman of the Humanities Endowment, has exhibited the requisite excellence in leadership and administration.

I am quite cognizant that I am setting here a standard for confirmation that is different from the standard usually applied to appointees, who serve at the pleasure of the President for unspecified terms.

We are concerned here with a reappointment for the head of an agency to a set 4-year term of office. And in those circumstances I believe we must apply a higher standard.

I believe the Congress should insist that persons should be reappointed to be heads of agencies and reappointed to set terms of office only in cases of exceptional performance.

If the performance during the first set term has been only acceptable, it is time for an infusion of new leadership, new ideas, and fresh enthusiasm.

For example, a professional football coach who leads his team to only a passable 50-50 won-loss season knows full well that the odds on renewal of his contract are only also 50-50.

Other examples would be in the Marine Corps and the Coast Guard, the 4-year terms of Commandant, and in all these years you rarely find a man reappointed to one of those positions.

To put the performance of the Humanities Endowment in perspective, I think it is necessary to go back to those days more than 10 years ago when those of us committed to the concept of Federal assistance to the arts and humanities struggled against strong resistance to bring that concept to reality. In those days, it was the humanities community in the Nation which provided the vigor, the creativity, and the enthusiasm which this new effort required.

The arts, by contrast, rode on the coattails of the humanities. In those days the arts were strong in a few cities, in a few areas, but did not have strength to cross the length and breadth of the Nation. And I remember at that time persuading my colleagues, persuading the ranking minority member: Let us include the humanities, and then maybe finally we will get this idea across of support for the arts, an idea that my colleague from New York had pioneered in developing long before I had come to the Congress.

Indeed, my efforts in two earlier Congresses to enact legislation to aid the arts failed until aid to the arts and humanities were linked together in legislation that brought forth the vigorous support of the humanities community.

Today the situation is reversed. The Arts Endowment is now the more vigorous, innovative, and creative of the two Endowments. It is growing, reaching out, attracting unprecedented business support, and involving all segments of society—especially women, minorities, ethnic groups, and the underprivileged.

I think the American people know they are getting value for their tax money in the Arts Endowment. They have felt the enriching impact of the Arts Endowment programs.

Sadly, there is far less evidence that the Humanities Endowment has reached out to produce a similar enriching impact on American life. The Humanities Endowment has, in fact, been overhauled and outstripped by the Arts. And this slippage has occurred most noticeably during the past few years.

In the Arts Endowment, there has been flourishing for several years a strong State-based program conducted by State councils which are responsible to State governments. These councils spring from within the States and owe no allegiance to Washington. Their success has been phenomenal.

On the humanities side, the State programs are operated by State committees whose genesis comes from Washington, whose chairmen stem from a Washington appointive source who are dominated by Washington and, consequently, are responsive mainly to Washington.

In an attempt to right this situation, the Senate this year passed legislation to allow the States themselves to choose with regard to the operation of their own State programs. From the outset, Dr. Berman bitterly opposed this Senate effort, calling it wholly unacceptable.

In the Arts Endowment, the State program has been a decentralizing and democratic force. The arts chairman has 50 potential critics with a strong voice in the States.

It is this balancing force which prevents Federal domination and allows for a true Federal-State partnership.

One of the strongest original objections to national arts and humanities programs from Members of Congress was based on the fear that the heads of the two Endowments would dominate those fields in a way that would frustrate the spontaneity and creativity which are so basic to their nature. That has not happened to the arts.

But I believe it imperative that trends in that direction in the humanities be reversed.

Mr. Chairman, these are reasons for my reservations about confirmation of this nomination for reappointment.

I would emphasize that my concern has been based solely on the principles I have outlined. It is not and has never been based on personal considerations.

As one of the fathers of this Endowment, I care passionately about its future and wish to see it flourish. That is the basic reason for my concern over this nomination.

I would add, Mr. Chairman, that my concern over this nomination has been the subject of substantial commentary by columnists, much of which is distorted and shrill in tone, and most of which appears to have a common inspiration.

The surprising thing is that if these columnists and editorial writers, who come mostly from the conservative spectrum of our community, had had objective access to the facts and knew that the issue here was whether our humanities programs should be continued in the tightening reins and grip of Washington, or whether they should be spread across our Nation with Washington exerting less, not more, influence, they probably would have come out with an opposite viewpoint from the one they have espoused.

For the purpose of the record, I ask that a compilation of these commentaries be included in the hearing record.

The CHAIRMAN. Without objection, they will be inserted in the record.

[The following was received for the record:]

WASHINGTON STAR

July 27, 1976

William F. Buckley

## Heading the NEH Pell-mell for Philistia

The contest between Senator Claiborne Pell and the muses comes now to a head, and it repays concentrated thought to what is involved. The upcoming climax is scheduled for July 29. At that point, Senator Pell will use all the traditional prerogatives of a senator, and every inchoate prerogative of a senator, to block the relevant committee from voting to schedule hearings on the renomination of Ronald Berman as Director of the National Endowment for the Humanities.

My own old-fashioned commitment to the private sector brings me to doubt the necessity of the NEH, which wasn't around to subsidize Mark Twain, the Golden Age of the Metropolitan Opera, or the proliferation of public libraries at the turn of the century. Still, if you are going to have 100-million-dollar programs to invigorate the humanities and the arts, there is one thing about which one has to be scrupulously concerned: No affirmative action for mediocrity. Paradoxically, it was Senator Pell who proposed the National Endowment programs in the first instance. It is he who is now trying to dismember the humanities program.

How? By suggesting that the money be disbursed, instead of by a central institute, by local arbiters elegantiae. It is quite improper to suppose that Providence, Rhode Island is without men and women

greatly talented in their recognition of scholars and writers and artists. It is preposterous to assume that the same high standards that have governed Professor Ronald Berman would govern Senator Pell's saturday trap in Rhode Island.

Indeed, Senator Pell spoke excitedly (how else might one speak, and come up with such a thought?) about making money available to garage mechanics to create sculpture in their off hours. I think it totally admirable that artisans should in their leisure hours write fiction, paint canvases, fashion sculpture, or make music, and utterly unreasonable to subsidize these endeavors by federal tax money. Local tax money is itself unfruitfully disbursed for the subsidy of hobbies; the notion that federal money should go to such enterprises is a discouraging capitulation to parochial vainglory.

Ronald Berman is a Shakespeare scholar. He wrote perhaps the most perceptive book on the 60's. Politically he is a conservative. His fairmindedness has however earned him the universal support of senators, scholars and poets with views sound and unsound. He has made mistakes, as anyone would spending that much money in a year. But his eclectic interests, his passion for excellence, his humane concern for both high scholarship and broadly appealing entertainment (the NEH

put up the money for The Adams Chronicles) make him the ideal man to preside over a board composed of distinguished citizens. To dismember that operation by establishing 50 state cultural patronage centers is, simply, to throw away whatever merit lies in the plan in the first instance.

The Senate, whose liberal members always speak of the necessity to free themselves of the accretions of a history marked by the obstructive leverage of individual members, nevertheless is apparently undecided on whether to yield to Senator Pell. And this notwithstanding that the editor of the prestigious *Journal-Bulletin of Providence*, Mr. James Doyle, has written a searing indictment of the Pell Plan.

Mr. Doyle, who is a member of the Rhode Island Committee for the Humanities, looks witheringly at the chummy plans of Senator Pell in the post-Berman age. Doyle quotes Pell as speaking enthusiastically about \$1,000 grants for "mom and pop store operators" to pursue latent interest in the Great Books, or \$500 to a "lumberjack with aspirations of historical research." Said sums to be disbursed by state administrators appointed by the governor.

Bring on that reorganization, says Mr. Doyle, and he will resign from Rhode Island's own committee — and, I think, Mr. Pell, I will not here be a minority of one."

The crucial vote is that of Senator Harrison Williams of New Jersey, the chairman of the Labor and Public Welfare Committee. On July 29 the committee will set up a date for a public hearing on the Berman appointment. Or it will table that appointment. If it does, the Philistines will have won an important victory.

JUNE 26, 1976

# Pell tries to politicize NEH

James Doyle

IN A 1975-1976 CONGRESSIONAL YEAR in which tumultuous events in Washington have bemused and overwhelmed the nation, it has been inevitable that newsmen and agencies in that city would overlook or minimize the persistent effort of our own Sen. Claiborne Pell to politicize the National Endowment for the Humanities and its affiliate organizations in just about all the states.

The Senate has defeated—so far—the attempt by the senator to re-structure the program of support of the humanities by putting control over state agencies in the hands of political hacks and by debasing the function of the national and state agencies. But Mr. Pell continues to oppose the re-appointment of Dr. Ronald Berman as national chairman because he opposes the dilution of effort Mr. Pell wants.



A BRIEF PERSONAL NOTE is required. It was with great pleasure that I accepted appointment to the Rhode Island Committee for the Humanities when it was organized in the winter of 1971-1972 under the chairmanship of Judge Florence K. Murray of the state's Superior Court. The state committee answers only to the national agency in the fixing of policies and in the granting of funds for programs.

Not once in the years since then has anyone in politics in this state ever approached me to exert pressure for or against a project. To the best of my knowledge, no other member and the committee as a whole ever has had to fend off politicians looking for favors for special interest groups. If politics had been involved in the beginning, I would not have accepted appointment.

But Mr. Pell wants to effect change in what he himself helped to set up as an independent federal agency, answering only to Congress and the White House. The senator wants to have the endowment set up state humanities councils, on the order of arts councils with members appointed by state political officers, presumably governors. Had the senator succeeded, I would have resigned from the state committee.

But equally bad, as the politicizing, it seems to me, is the senator's thrust to dilute the national and state programs. He thinks that if politically oriented councils are created, money will filter beyond the prestigious humanities institutions to the people who pay the freight with taxes; he sees the arts and the humanities as potential avocations for millions of newly leisured Americans.

In a story in the last edition of the Providence Sunday Journal, Mr. Pell is quoted like this on the issue: "Pell, meanwhile, speaks longingly of the possibility of a grant of \$1,000 to some 'mom and pop store operators' to pursue a latent interest in the Great Books or \$500 to a

lumberjack with aspirations of historical research." To begin with, the Rhode Island committee has not poured its allocations of federal cash into "prestigious humanities institutions." If Mr. Pell had had the wit to ask, he could have discovered easily that his home state committee has funded a wide variety of programs, some of them put together by scholars, all aided by scholars, and all aimed at people.

Grants have been made to ethnic groups, such as Cape Verdean neighborhood groups determined to develop ways and means of using the humanities to enrich their lives; studies of such problems as the effect of growth pressures on land uses from Block Island to the Audubon bird sanctuary.

Nationally, the endowment has supported such programs as the writing of histories for each of the 50 states; the underwriting of scholarly works and films; programs to strengthen the impact of teaching in the humanities group projects for research in the humanities—all of them summoning the best minds in the country to enlighten the teaching of humanities and participation in them.

For the senator to say longingly that he would like to see a grant of \$1,000 for "mom and pop store operators" to pursue a latent interest in the Great Books leads me to doubt seriously that Mr. Pell knew what the humanities were all about back in 1965 when he helped win passage of enabling legislation for the national arts and humanities foundations.

The Rhode Island committee has been patient, indefatigable in making certain that every project it approves involves the public or opens an opportunity for involvement of the public—to encourage the "mom and pop store operators" and "lumberjacks"—if there are any in Rhode Island—to engage actively in programs involving just about every conceivable aspect of the humanities.

IT APPEARS TO ME that the Pell method for disposing of the federal humanities money would result in the wasteful funding of private hobbies from reading books by these mom and pop store operators to a study of the interrelationship of tree rings and the weather by a lumberjack. Such programs undoubtedly would be wildly popular and politically fruitful.

The humanities program nationally and locally have not been able to compete with the arts program for public attention for the simple reason that such programs, except for the artists involved, require only spectator participation whether in watching a federally-funded ballet or a theater company perform. Eyecatching and liveworthy.

But humanities programs involve hundreds of men and women in the difficult non-spectator sports of using their minds, of engaging in fruitful dialogue on public issues from prison reform to downtown renewal, and of relating themselves and their dreams to the society in which they live. The payoff is in the mind and the heart.

In the Sunday Journal story, Barnaby Keeney, former president of Brown University and the first chairman of the national endowment, was quoted for his definition of just what the humanities are: "If you do it, it's an art. If you study or learn or examine it, it's a humanity." In the

1975-1976 brochure on its programs, the endowment itself had this to say:

"The humanities . . . comprise the family of knowledge that deals with what it has been—and is—to be human, to make value judgments, and to select the wiser course of action. This is achieved primarily through the examination of human experience and its implications for the present and the future." That is the goal the national and Rhode Island committees seek to achieve.

FROM ITS BEGINNING, consonant with the goals of the national endowment, the Rhode Island committee and the committees of every state I have read of dedicated themselves to twin goals: prudence in the authorization of the spending of federal cash; and dedication to the purpose of making sure that every approved project was organized, planned, and directed, to involve people in every walk of life.

If Senator Pell succeeds in restructuring the endowment so as to politicize state agencies or if he attains his end by ousting Dr. Berman in favor of an executive who will steer national policy along the lines he has laid down, then—with reluctance and regret—I will resign from the Rhode Island Committee, and I think, Mr. Pell, I will not here be a minority of one.

James J. Doyle is editor of the Journal-Bulletin editorial pages.

[From the New Republic, Sept. 4, 1976]

## Blocking Berman

It has now been half a year since President Ford renomiated Ronald Berman as chairman of the National Endowment for the Humanities. During this time the Senate Committee on Labor and Public Welfare, which must confirm the appointment, has taken no action. The committee has been silent because its chairman, Harrison A. Williams of New Jersey, seems to have abdicated his authority and judgment to fellow committee member Claiborne Pell of Rhode Island, the villain of the piece. For close to a year Pell has waged an erratic and hyperbolic vendetta against Berman, making ill-conceived demands that NEH

The New Republic

become a local patronage dispenser, rather than the keeper and patron of standards in humanistic scholarship and mass education that it has been.

In view of Pell's behavior it is astonishing that Williams and the ranking Republican on the committee, Jacob Javits of New York, are playing along with Pell. Indeed, the two of them had pledged to any number of men and women in the universities and public television that they would not countenance Pell's efforts, which would first demoralize and then cripple the Endowment. Berman, a Nixon appointee and a Republican conservative, has been scrupulously fair in the conduct of his office. Liberals, radicals and reactionaries all have found him to be a model of intellectual tolerance, tempered only by his insistence on excellence. As a result, he has widespread support in Congress and elsewhere. Pell appears to have none. And yet it looks as if the unsupported will prevail—because Williams and Javits have allowed senatorial courtesy to supplant senatorial responsibility.

It is widely assumed that, given a chance, the Committee on Labor and Public Welfare would vote overwhelmingly for Berman, and that the whole Senate would follow suit. But Pell's tactic is the familiar congressional one of stringing out the matter, and preventing a vote. Pell's most recent fiction, in which Williams and Javits are now implicated, is that Berman's hearing will take place after a vote on the legislation reauthorizing the agency. But since Pell heads the reauthorizing subcommittee, he can postpone everything indefinitely. All he needs to do is to put off Berman's hearing until after October 1, when all nominations lapse with the adjournment of Congress.

And that's exactly what he seems to be planning.

The committee should give Berman the hearing he deserves. Is it too much to expect that Williams and Javits be responsive to justice in this matter and not to the aberrations of the Senate club?

[From the News, New York, N.Y., Aug. 8, 1976]

## PELL'S PETTY PEEVE

The respected head of the National Endowment for the Humanities, Dr. Ronald Berman, has been waiting six months for Senate action—or even a hearing—on his confirmation for another term.

He has been left in limbo because Sen. Claiborne Pell (D-R.I.), who heads a panel that must pass on Dr. Berman, has refused to put the item on the agenda.

The senator's nose is out of joint because Berman refused to go along with his scheme for letting states use part of NEH's money for patronage handouts.

So far as is known, Berman doesn't have another enemy in the chamber. It is almost universally conceded that he has supervised the distribution of NEH grants in a fair, impartial fashion, demanding high standards of applicants.

But because of "senatorial courtesy," none of Pell's colleagues will intervene to end his spiteful vendetta against Berman.

In our book, that makes them as bad as Pell—if not worse.

[From the News American, Baltimore, Md., Aug. 19, 1976]

**JEFFREY HART****Sen. Pell's Scheme**

The front pages of the daily newspapers display for us the more flamboyant examples of congressional misbehavior, but Sen. Claiborne Pell (D.-R.I.) has meanwhile been busy with a particularly nasty little operation of his own. In its arbitrariness and cynicism, Pell's performance is actually more typical of the arrogance of power in Washington than the publicized extravagances of Wayne Hays, Wilbur Mills, and other gargoyles of that sort.

Established under the Johnson Administration, and, indeed, with Senator Pell as one of its principal sponsors, the National Endowment for the Humanities (NEH) disperses some \$90 million per year to assist various kinds of cultural activities: art museums, libraries, scholarly research. It also sponsors high-grade popular productions like the recent televised "Adams Chronicles."

The NEH is supposed to be non-political and, remarkably enough, has actually been so under both Democratic and Republican administrations. The \$90 million spent by NEH was probably too small a sum to attract the attention of the leading porkbarrelers.

Two years ago, however, Senator Pell came up with a scheme to skim off millions of dollars of NEH money and distribute it to local politicians at the state level.

At present, grants awarded by NEH must pass before non-partisan committees of experts. The standards maintained have been high.

Pell wanted the local politicians to get into the process and distribute large sums of money themselves. The various states would receive the Federal funds as a matter of legal right. No nonsense about "merit" would intervene between the Federal treasury and the state-level politician.

The present chairman of the NEH, Dr. Ronald Berman strenuously and correctly opposed Pell's scheme. Other senators found Berman persuasive, Berman's stand had practically universal academic support.

As a result, however, Senator Pell has

been pursuing a personal vendetta against Dr. Berman.

Berman's first term as Chairman expired last December. After canvassing a wide range of opinion, and finding universal satisfaction with the job Berman had done, the White House resubmitted his name for a second term. Now, six months later, Pell has succeeded in blocking a hearing on the matter by the pertinent committee of the Senate, Labor and Public Welfare.

Except for Pell, no one on the committee has expressed any opposition to Berman. The National Council of the Endowment, which includes members from both parties, backs Berman 20-1. Well known throughout the academic and scholarly world as a Shakespeare scholar, Berman has proved to be a fair-minded and able administrator. So far as I can tell, acclaim for his performance among those in a position to know is virtually universal.

For six months, however, Pell — alone — has blocked a hearing, aware that Berman would be overwhelmingly approved.

As the *Wall Street Journal* summed up this matter in a recent major editorial: "The sex scandals have had the effect of picking up the rock of Capitol Hill, and giving the public a glimpse of what scurreries underneath. The problem is not so much sex as it is the atmosphere of arrogant pettiness. As an example of the normal workaday pettiness so completely tolerated in the Congress, it is worth considering the little vendetta Senator Claiborne Pell of Rhode Island is running against Dr. Ronald S. Berman, chairman of the National Endowment for the Humanities."

The entire matter now rests in the hands of Sen. Harrison Williams of New Jersey, chairman of the Labor and Public Welfare Committee. He can agree, at long last, to hold hearings on the Berman confirmation. The predictable result would be that Berman would be confirmed overwhelmingly. Or, out of so-called senatorial "courtesy," he can defer to the arrogance of Senator Pell's power and penalize a fine public servant for doing his job.

[From the Tribune, Chicago, Ill., Aug. 3, 1976]

Patrick Buchanan

# A scholar who won't give in



WASHINGTON—In the world's wealthiest republic, with its Nelson Rockefellers and vastly endowed Ivy League schools, should the middle class be dunned to subsidize a National Endowment for the Humanities? Probably not.

But such an endowment has existed for 10 years. And the most persuasive arguments for its continuance are the results produced, and the standards by which it has operated. For the last half decade, the Endowment has been chaired by Dr. Ronald Berman, a tough-minded Shakespearean scholar, who has attracted into the Endowment's ambience thinkers of the candle power of Irving Kristol and Sidney Hook.

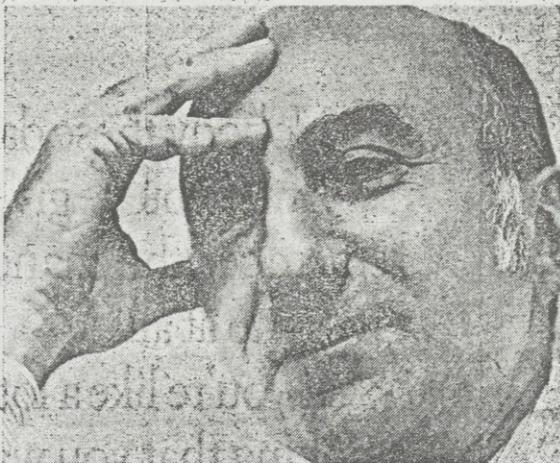
At Berman's direction, the Endowment moved to save the New York Public Library, to sponsor public television's "The Adams Chronicles," to bring to public view the Scythian Gold and Chinese art exhibits.

NOT EVERY Berman grant has fallen upon good ground. One, for example, for almost a quarter million dollars went to the American Library Association, which produced a bicentennial reading list on U. S. business, politics, and history that might have been drawn up by one of the zanier minions of Jeremy Rifkin.

But such has been the exception, because it is Dr. Berman's rule that grants will be made to scholars, projects, schools, and communities upon the basis of merit, not political clout.

Dr. Berman's record has won him the plaudits of the academic community, the endorsement of 20 to 21 members of his board, and renomination by President Ford. On the Senate Education and Labor Committee, before which he is to appear for confirmation, he is without opposition—excepting that of Claiborne Pell [D., R. I.], the father of NEH.

Pell's opposition to Dr. Berman seems partially a clash of personality. But more important, Dr. Berman crossed the subcommittee chairman by resisting, on principle, Pell's effort to have 20 per cent of the Endowment budget turned over to the states in block grants. In Berman's reasoned judgment, this would mean turning



Berman: Not a hack, but a man of principle.

the Humanities' money into simply another variety of federal pork.

Ruminating about his idea, Pell, in an unguarded moment, suggested making grants for historical research to lumberjacks and "mom and pop" subsidies to study the Great Books. The rolling wave of laughter through academia that followed the senator's recommendation seems to have steeled his determination to take it out on Dr. Berman—by denying him a hearing for confirmation.

This nonsense has continued for six months. The "senatorial courtesy" being extended, to Pell by Democrats and Republicans alike is rapidly degenerating into something else again: A crass abuse of congressional power.

BERMAN IS not some political hack hired for a federal post to bring over a few delegates in a contested primary state. He is a scholar of national repute, a bureaucrat with the guts to defend the integrity of his agency at the risk of his job. Had he been a fellow of less kidney, he could have

knuckled under to Pell's demands, been given his hearing and Senate approval without dissent.

Instead, he chose to stand on principle. The very least he deserves is the right to defend his ideas about the endowment, his record, and himself in a public hearing, for the suspicion is building that Pell is now holding off the hearings so that a new administration can kill it, and turn the endowment into a \$100 million pork barrel to be opened and ladled out to academics politically sympathetic to the Democratic Party.

If Pell has any close friends on the Hill, they ought to take him aside and let him know what a petty and vindictive man he now appears. As for the Republicans, they—and the President—should observe closely the fate of Berman. If his nomination is killed in this deceptive fashion, it is a harbinger of things to come for the endowment, and they ought to start thinking seriously of folding it up.

New York Times Special Features

[From the Wall Street Journal, July 1, 1976]

## Senatorial 'Courtesy'

The sex scandals have had the effect of picking up the rock of Capitol Hill, and giving the public a glimpse of what scurriles underneath. The problem is not so much sex as it is the atmosphere of arrogant pettiness—the sheer effrontery of keeping a mistress on the public payroll, of voting yourself expense allowances on top of expense allowances and so on.

Such arrogance is so much a way of life on Capitol Hill that it takes a sex scandal to get anyone to stop and notice. But by cheapening life on the Hill, the humdrum abuses provide the soil in which the flagrant ones grow. As an example of the normal workaday pettiness so completely tolerated in the Congress, it is worth considering the little vendetta Senator Claiborne Pell of Rhode Island is running against Dr. Ronald S. Berman, chairman of the National Endowment for the Humanities.

Senator Pell has long had his own pet theory on how the endowment should dispense its funds, something about handing them out to state councils that would pass along \$500 so a lumberjack could do some history. Under Dr. Berman's tenure, the endowment has instead used its funds for things like helping produce "The Adams Chronicles," funding the traveling museum exhibits of Chinese art and Scythian gold and funding serious scholarship. On these grounds, Senator Pell has determined to block Dr. Berman's reappointment.

Understandably, the Senator has had a little trouble picking up allies. He got the administration to post-

pone renomination for two months while it studied his complaints; after acquainting itself with the humanities, the White House quickly sent Dr. Berman's name down after all. The endowment's council, including holdovers from the last Democratic administration, stands something like 20-1 in favor of the appointment. And aside from Senator Pell, no one on the relevant Senate committee; Labor and Public Welfare, has expressed any opposition.

But thanks to the prevailing ethic on Capitol Hill, it looks as if Senator Pell may have his way. The nomination was sent down last February 11, and as Congress gets ready for its July 4 recess no hearing on it has been scheduled. Senator Pell is claiming something quaintly called "Senatorial Courtesy," extended to Senators from a nominee's home state or, in this case, the chairman of a relevant subcommittee. The doctrine of Senatorial Courtesy, plainly put, is that if a Senator has a grudge against a nominee he can keep his name from coming to a vote.

Even by the standards implicit in this custom Senator Pell's pettiness is pretty ripe, but so far his committee colleagues are going along with it. Committee Chairman Harrison Williams of New Jersey has the power to give Dr. Berman his day before the committee, and to insure that his reappointment is voted up or down by the light of day. But that is not always the way things are done on Capitol Hill, as Congressman Wayne Hays can testify.

[From the Washington Star, June 10, 1976]

## Confirming Dr. Berman

It was an even four months ago that President Ford sent Dr. Ronald Berman's name to the Senate Committee on Labor and Public Welfare, nominating the distinguished analyst of contemporary culture for a second term as chairman of the National Endowment for the Humanities. It's still there.

The committee's failure to act on the appointment in a third of a year reflects neither inefficiency nor an overcrowded agenda. Rather, it's the deliberate tactic of Sen. Claiborne Pell, who heads the subcommittee on education where action must begin. He doesn't like Dr. Berman. Seemingly, however, Sen. Pell doesn't trust his ability to persuade the rest of the committee to drop him — not enough, at least, to

risk open hearings.

Using official prerogatives to obstruct the intended workings of the congressional system is despotism of a sort that seems particularly incongruous applied to an institution as elevated of purpose and conspicuous of achievement as the Endowment. The chairman's personal vigor is such that he has not sunk into the lame duck limbo Sen. Pell appears to want for him. But his indeterminate status is bound to erode his authority and, with it, the effectiveness of the organization, if it goes on much longer.

If Dr. Berman is the right man for the job — and we think he is — his renomination should be confirmed without further delay. If he isn't, there should be hearings to show why.

[From the Washington Post, May 16, 1976]

*George F. Will*

## High Culture And Basic Politics

Considering the variety, universality and astringency of today's criticism of the federal government, you might think politicians would cherish their successes. Yet one success, the National Endowment for the Humanities, is receiving unwarranted criticism from an unlikely person, Sen. Claiborne Pell (D-R.I.), who deserves substantial credit for the birth of NEH a decade ago.

You may not have heard of NEH, which is to its credit. Under the direction of Dr. Ronald Berman, an outstanding Shakespeare scholar, NEH has avoided institutional flamboyance, secure in the knowledge that conspicuousness should not be a characteristic of the world's largest source of support for humanistic studies. NEH is that, although it will dispose of only \$90 million this year, a sum spent every 80 minutes by the Department of Health, Education and Welfare.

President Ford has gratified almost every interested person by nominating Dr. Berman for a second four-year term. But Pell is opposed because Dr. Berman opposes Pell's plan for making NEH something less than it now is.

NEH offends some political sensitivities because it bestows benefits in a non-political way on the basis of merit. Currently 20 per cent of NEH resources are awarded on the basis of proposals submitted in nationwide competition by voluntary state humanities organizations, which operate with minimal overhead costs. Pell wants the money to go in block grants as a matter of right, not merit, to paid state agencies, appointed by governors.

Pell complains that NEH's sister organization, the National Endowment for the Arts, "has generated more momentum," a phrase more appropriately used by Howard Cosell when describing the Pittsburgh Steelers. When Pell praises NEA for its work at "the grass roots level," he comes close to philistinism. The arts endowment and NEH are not quite comparable.

— Events in the performing arts sponsored by the arts endowment generate more publicity than, say, Prof. Dumas Malone generates as he finishes, with NEH support, the sixth and final volume of his masterly biography of Thomas Jefferson. Moreover, the arts endowment has adopted a broad (and politically convenient) definition of "art." This enables it to spread its somewhat haphazard benefactions broadly. Not to put too fine a point on it, few congressional districts are left out.

Pell has wistfully but not wisely hoped that NEH would wind up supporting "lumberjacks" and "grocers" and "shoemakers." The arts endowment can do that: Anyone can dabble at watercolors, or weld car bumpers into something the arts endowment considers art. But NEH can hardly give a lumberjack \$500 to dabble at, say, historical research.

This is not to say that scores of millions of Americans have not benefited directly from NEH projects. It has funded numerous museum and gallery exhibits, and "Classic Theater," "War and Peace" and "The Adams Chronicles" on public television. NEH provides about an hour a week of public television—often the best hour.

NEH operates on the premise (re-soundingly confirmed by such projects) that there is a substantial audience for superior entertainment. Still, there is no blinking the fact that NEH is elitist. It is biased in favor of excellence.

So, much of its support goes to an elite of promise and achievement. It uses the guidance of 5,000 experts who are the (dare one use the words?) "best and the brightest" of the nation's humanistic scholars. But there is nothing objectionable about this. NEH's mission is to help sustain high culture in a commercial society.

That is an old problem. In a poem addressed to "A wealthy man who promises a subscription to Dublin Municipal Gallery if it were proved that people wanted pictures," Yeats invoked Guidobaldo, the Duke of Urbino, a Renaissance patron of the arts:

*And Guidobaldo, when he made  
That mirror-school of courtesies  
Where wit and beauty learned their  
trade  
Upon Urbino's windy hill,  
Had sent no runners to and fro  
That he might learn the shepherds'  
will.*

Yeats's point is that there never is a popular clamor for high culture. The general public demands from government hospitals and highways and other goods and services that sustain the everyday life of the average person.

But a government need not apologize for using agencies like NEH and persons like Dr. Berman to attend to matters of the non-scientific mind. Although less narrowly utilitarian than most government concerns, they are at least as important.

Senator PELL. Obviously, from the viewpoint of my own political interests, it would have been far better for me if I had not become the butt of this propaganda or the target of criticism stimulated in parts of the humanities community. It would have been easier and politically expedient to have said in effect: "Let's continue doing what we have been doing, even though I know it's not right."

But, in conscience, and as father of this program, I just could not and should not do this.

Finally, Mr. Chairman, I would reemphasize my principal concern.

I believe the humanities have a tremendous potential to enrich the life of all Americans. But if that is to happen, the humanities must reach out from the campuses and the ivory towers and include such groups as farmers, insurance salesmen, factory workers, young people, senior citizens, and workers in all varieties of fields.

The humanities must appeal to those without an advanced formal education. We cannot justify the expenditure of taxpayers' money in support of the humanities if the tendency of the program is to proliferate volumes of humanistic studies in university libraries, just for other academic humanists to read.

I think there is a parallel here between the humanities and the ocean sciences. That also came before this committee originally.

Ten years ago, oceanography and the marine sciences were a highly academic field, esoteric. Marine scientists compiled magnificent studies of the oceans and ocean life which simply gathered dust in university libraries. The knowledge never reached the fishermen, the environmentalists, and the conservationists—those whose lives were intimately involved with the oceans.

As the late Wib Chapman, one of the great men of American oceanography put it at that time, "If all the oceanographers in the world dropped dead tomorrow, it would have no affect whatsoever on the world fish catch."

The sea grant college program, which I sponsored, and which the Congress enacted, has changed that situation dramatically. Oceanography and the marine sciences are now out in the real world, and are having a real impact on man and his living relationship with the world's oceans.

I want to see the humanities reach out in a similar fashion and have a real impact on the lives of Americans. It is a difficult challenge. It requires exceptional innovative leadership. And that is what we will be looking for in the course of this hearing—evidence of exceptional performance and exceptional leadership that justifies reappointment to one of the most challenging positions in the executive branch of our Government, and a position that, because of the very size of the money grants that are distributed, and the way they are distributed, is having the effect of giving enormous power to a single individual to dominate the intellectual life of our Nation.

In that connection, I must say, Mr. Chairman, I have had a frustrating experience because I have spoken with many recipients of grants, fellows of the program, and asked would they be willing to testify. In a number of cases, they will not testify because they have gone to the presidents of the institutions, who say, no, we might lose our grants.

So I am a little frustrated in that regard.

The CHAIRMAN. Thank you very much, Senator Pell.

Senator JAVITS. Mr. Chairman, I know that Senator Stafford wants to say a word. I would ask if he would yield to me for just one word.

I think it is most credible to the democratic process that Senator Pell is willing to face an exhaustive hearing in which he has a very different view. He is the father of the Humanities Endowment. Nobody can affirm that better than I. Just as I am the father of the Art Endowment. Nobody can affirm that better than I.

I think his actions should be admired in the Senate. He might have tried to avoid any public action. It has taken a long time to get to this point, but we are here. Senator Pell is willing to face it.

Similarly, Dr. Berman, I wish to express my admiration to you. I personally advised you that this could be very trying, that it could produce a result which would be very harmful to your future professional career. But you were anxious to accept the challenge. I think this is very credible to you, as it is to Senator Pell.

The CHAIRMAN. Senator Stafford.

Senator STAFFORD. Thank you very much, Mr. Chairman. I shall be very brief at this point.

I am happy that we are finally at the point of having hearings, I am also pleased that Senator Pell was willing to go ahead with the exhaustive hearings.

I also congratulate Dr. Berman on being here and on his willingness to undertake the process.

On the basis of conversations with Dr. Berman and the review of his past record as chairman of the humanities, unless something I am not aware of appears in the course of hearings, Mr. Chairman, I am prepared at this point on the current record and my current knowledge of Dr. Berman to vote to report him favorably to the Senate.

I wanted to put that on the record at this point.

Thank you.

The CHAIRMAN. Dr. Berman, before we return now to the members, do you have an opening statement.

Senator PELL. Mr. Chairman, if I may, there is one point about the delay here. We wanted to delay the hearing until we finished the legislative authorization program so that these two matters could be kept separate, and we just completed the reauthorizing conference agreement. The conference report will soon be filed.

The CHAIRMAN. Dr. Berman.

#### STATEMENT OF RONALD S. BERMAN, PH. D., NOMINEE FOR RE-APPOINTMENT AS CHAIRMAN OF THE NATIONAL ENDOWMENT FOR THE HUMANITIES

Dr. BERMAN. Senator Williams, I do have some brief remarks, and with your permission I will enter those right now.

It may be that you would prefer me to take up some of the points addressed by the various Senators after that.

The CHAIRMAN. Yes. Do you have a statement?

Dr. BERMAN. If I may, I will proceed with this brief statement.

The CHAIRMAN. Please.

Dr. BERMAN. There have been some accomplishments since December of 1971 when I became Chairman of the National Endowment for the Humanities. These have allowed the agency to approach the ends

established by Congress—to strengthen the humanities, and extend their public use.

In December of 1971, it could reasonably be stated that the endowment had done much to support scholarship and its institutions. But there was no direct participation by the public, nor were the humanities in any sense of the term a household word. They served a useful but narrow constituency.

When I came to the Endowment, I found a limited experiment in local public programs underway in six States. In that first year, this funding was quadrupled and the program expanded to additional States.

In the second year, we doubled that figure, and supported similar activities in virtually all the States. By 1975, all 50 States had such activities, and the endowment was allocating about 30 times as much money as in fiscal year 1971. By 1977 the Endowment will be allocating \$17.5 million, as contrasted to \$654,000 in fiscal year 1971, to the support of locally designed and locally funded public programs in the humanities in all 50 States, reaching 20 million Americans.

Let me add that \$30 million in gifts have been given directly to local projects under this State-based program. This is in addition to \$20 million in private gifts received directly by NEH during the past 4 years. So that the sign of public interest in our activities is that we have raised from the public over \$50 million.

These local projects have dealt with grassroots concerns—like land and water use, crime and justice, economic and social change, race relations, and governmental decisionmaking—and they have involved labor unions, ethnic groups, service and civic organizations as well as educational and cultural institutions.

Four years ago, 19 percent of NEH funds went to activities serving citizens outside of formal educational or scholarly organizations. In 1976, 48 percent of our funds will go for this purpose, and every division of the Endowment will conduct programs serving the public directly. The commitment to public programing is clear if we consider some of the following:

In fiscal year 1972, there was an occasional NEH-supported film on national television; there was no radio programing; and there was little regional television programing.

But, in fiscal year 1977, over \$6 million is budgeted for programing that will reach 26 million people, through local and national radio and television.

And in the past 4 years, there have been individual programs and major series throughout the year—including the Adams Chronicles, Ourstory, Japanese Film Series, and War and Peace. These programs have been judged by viewers, by critics, and even by scholars to be the best and most influential of their kind.

Four years ago, \$440,750 went to support occasional museum exhibitions in major cities. But, in fiscal year 1977, NEH funds include \$6 million for exhibitions and educational programs in scores of small museums and historical societies around the country, as well as providing support for major international exhibitions like the Chinese exhibition and the current Egyptian exhibition.

The Chinese exhibition, after all, drew in one city 835,000 people. That is in San Francisco, and that does seem to be serving the public and grassroots interest.

At the same time, in the divisions serving the traditional humanities sectors—education, fellowships, research—under the guidance of the National Council on the Humanities clear priorities have been established and new programs have been instituted for a broader constituency.

For example, in fiscal year 1972, the fellowships division served academics and scholars exclusively. In fiscal year 1976, 1,660 grants were made in a variety of programs—serving over 1,000 2-year and small 4-year college faculty, as well as established scholars, and involving school administrators, medical personnel, and journalists in serious study of the humanities.

Our education division, in fiscal year 1972, provided two kinds of aid for individual colleges. There was little support for elementary and secondary programs and none for other cultural institutions.

By contrast, in fiscal year 1976, \$20 million have been used for a broad variety of activities, including a new consultant program which will give substantial aid to 150 small schools at very low cost; far more grants to elementary and secondary schools, and grants to support educational programs in urban libraries and museums.

Even our research programs have been reorganized and broadened to meet clearly formulated priorities, supporting, among other things, the bicentennial State histories, which give all of us sound up-to-date history of our own regions.

If I may allude to this briefly, a very handsome volume here of West Virginia, one of the 50 volumes we will be putting out by the end of next year, so that every citizen of the country will have very cheap, very reliable access to his own State's history.

Here, too, in this division, we have concerned ourselves with national basic resources, beginning a series of challenge grants which raised \$4 million private funds for the New York Public Library, and other major research centers, and we will still maintain support for the highest quality of American scholarship.

Thus, under my tenure, the Humanities Endowment has worked aggressively and with some success to maintain its responsibility to the Nation's scholars and teachers while supporting programs which directly involve, and enrich, the lives of individual citizens.

I mean to imply no criticism of my predecessors by these comparisons. The Endowment's funds were limited during its early years, and the needs in the more conventional areas of the humanities were, and remain very large. But it is a fact that, under my direction, the agency has become a familiar resource for the Nation's museums, libraries, universities, junior colleges, radio and television stations. And while we have gone public, we have kept standards high. NEH is not only a source of funds but of intellectual values.

If any criticism could be leveled at this agency, it might be that we have not made the members of this committee more aware of our work.

My choice was first to make priorities and programs.

Yet, there has been a dramatic increase in public awareness and press attention to the Endowment's work. In 1972, NEH enjoyed little press attention. Four years later, newspaper coverage of NEH and its projects have quadrupled, and I am sure you are aware of the increased frequency of coverage in Washington and the national news

magazines about NEH projects like the Adams Chronicles and its museum exhibitions.

The balance we have now achieved between scholarship and the public interest should be maintained. For the fact is that the public interest we have helped to create is a necessary condition for scholarship and teaching.

I believe that the new directions established in the past 4 years—and reinforced by our new reauthorizations legislation—should be followed in the future. And, under my leadership, I assure you that they will be.

I also assure you that I will work closely with our congressional committees, particularly when there are differences of opinion, because I believe that such differences arise from sincere efforts to enhance the humanities.

With your help the humanities can be, and will, I think, be a greater force in American life.

Thank you for this opportunity, and I invite your questions.

The CHAIRMAN. Thank you, Dr. Berman.

Senator Pell.

Senator JAVITS. Before Senator Pell begins his questions, and in view of his very profound interest in this matter, I would ask unanimous consent that the 10-minute rule be waived, and the Senator have as much time as he feels he needs this morning, without unnecessary interruptions.

Senator PELL. You are very kind. I am willing to go back and forth.

The CHAIRMAN. You will yield easily to others?

Senator PELL. Yes; I am delighted to keep the 10-minute rule, whatever you like.

The CHAIRMAN. Proceed.

Senator PELL. A couple of points just to further firm the record up.

Senator Javits' involvement goes back to the 81st Congress, some 25 years ago, when he introduced, as a Member of the House, legislation to encourage the development of the arts.

I did not get involved with it until I had the good fortune to begin in the 87th Congress. In that Congress a bill to support the arts was developed. But time ran out. In the 88th Congress the National Council on the Arts was established in 1964. The Senate bill provided both for a Council and National Foundation on the Arts, but the House removed the Foundation part of the legislation. That is why it was not until the 89th Congress and as a result of an alliance which had been formed to combine the arts and humanities legislation—and my colleagues at that time bore with me without any great enthusiasm—that the humanities could be included together with the arts. The humanities had the political muscle needed for success.

The CHAIRMAN. If you will yield, if you are the fathers, we are the sons. I think all of these measures that you have advanced have come out of this committee unanimously.

Senator PELL. That is correct. The chairman is absolutely right. Not one of these events has come to pass without unanimous vote of the committee as a whole. That is absolutely correct.

Although to get candidates to serve on the Arts and Humanities Subcommittee has not always been the easiest chore.

The CHAIRMAN. Well, unfortunately, it is below the line of major subcommittees—maybe advocating something above the line would

mean membership would be appreciated. I do not mean to be exclusive with father and son sponsors—if we should get a daughter, we will have a father, son, and daughter relationship.

Senator PELL. We may have one from New York.

The CHAIRMAN. You said it, and Jack Javits retreated.

Senator PELL. In 1964 and 1965, when we were discussing the establishment of the Endowment, the question of State involvement was raised. Here I am responding to one of the points that Dr. Berman mentioned. I want to put this in perspective if I could.

Dr. Keeney, who was President of Brown University and became the chairman of the Endowment, said at that time that the humanities were really not ready to handle a program, a State program, and that it would be unwise to legislate it. And since we in the arts were riding in piggy-back on the humanities, we were not in a position to force a similar structure for humanities as we made applicable to the arts.

In 1968, this question was again raised on State-based councils. We were again told that the time is not yet ripe.

The question came up again in 1970, and while the acting chairman at that time agreed with Dr. Keeney's views that a mandated program was not feasible, he went ahead and did agree to set up a pilot project, and pilot programs were established.

The Senate report that year reflected this development.

In 1973, Dr. Berman, then chairman, appeared before us. We again spoke of the concept of State-based humanities councils, and he informed us that, in comparison with the initial six State programs, there were then approximately 40. Therefore, the legislation did not contain mandatory language, but, again, the Senate report reflected our deep interest and concern in this matter.

When drafting this year's reauthorization bill, it became clear that there were viable programs in all 50 States, and therefore legislation was introduced which would enact into law that which had been done in a voluntary manner. The purpose of it was to give each State humanities council a life of its own and a guarantee of a percentage of funding, and a guarantee that it would be its own master in planning its own programs.

The problem may seem unusual in that we Democrats are often for centralized government. In this case the issue is whether decentralization should occur. I think that these decisions are better made in the States than they are in Washington, particularly because a balance is desirable between Federal and State authorities.

Now, I would like to move on, if we could, to various specific questions which I think will be of interest to us also and should be on the record.

I would like to explore, Dr. Berman, the emphasis which the NEH under your leadership has placed upon just where the NEH funds are allocated and who benefits from these funds.

For the purposes of this review, let us consider at this time just the grants made from Washington directly to grantees—in other words, not by the State committees—in fiscal years 1974, 1975, and 1976. I believe we can divide NEH grants into two categories for purposes of this review.

The first category of grants would be those whose purpose is to benefit directly the general public.

As examples of this type of grant, I would suggest television programs—and here the Adams Chronicles was an excellent one—newspaper columns and courses, museum exhibits, library programs, special broadly displayed bicentennial exhibits and the like.

Then the second category of grants are those that could be characterized as primarily academic and scholarly.

Some examples of this category would be the preparation of bibliographies and scholarly dictionaries, critical translations, editions of scholarly or historic letters, reorganization of college-level humanities curricula, international professional symposia, and interdisciplinary professional colloquia.

So, bearing this in mind, I am wondering if you would give up your views, and submit documentation for the record, for each of the 3 fiscal years. How many individual grants were awarded to each of the above categories?

You may have that information with you.

Dr. BERMAN. I would be happy to submit that for the record, Senator. I think it would be better. That way I will not make any errors.

Senator PELL. Is there any way you can give us a rough approximation? Two-thirds/one-third?

Half and half?

Dr. BERMAN. Yes.

For the present operation of the Endowment, there is about 50 percent of our funds crosscutting all divisions that go to public uses, and about 50 percent have been retained for professional uses, diminished from about 81 percent 4 years ago.

Senator PELL. Could you repeat that last statement?

Dr. BERMAN. The amount of funds going to academic and special scholarly uses were about 81 percent of the Endowment's funds in fiscal year 1972. At present, they are very close to 50 percent, and that is, I think, an accurate, reliable figure.

Senator PELL. Not counting the State programs, correct?

Not counting the ones going to States?

Dr. BERMAN. The State programs have got to be included because they crosscut. That is to say, if half of the Endowment's funds go to public uses, then one-fifth comprised of that half go to State committees.

Senator PELL. As I said in the beginning, we are excluding those which should be handled by States, that is the approximate 20 percent involved. I am talking of the 80 percent of the funds that you control, not handled by the States.

What approximate percentage goes to public uses and what approximate percentage goes for the academic and scholarly purposes?

Dr. BERMAN. I would say 30 percent goes directly to public uses, in addition to that 20 percent, and that the remaining 50 percent utilized for professional fellowships, research and education, are also devoted in part to public uses.

Senator PELL. I think many of the grants that are included by the States may also go not for public purposes, but for other purposes. I really want to keep myself restricted to the money you handle, without State involvement.

Of that, your horseback opinion would be that approximately 30 percent is spent for what we call public purposes, would that be correct?

Dr. BERMAN. I would not restrict it in that way.

For example, let us take a concrete example, in the fellowships division, as a contracting agent, a certain college or university might get funds to support fellows in journalism.

Now, people in journalism are distinctly outside the academic profession. But the money has been funneled for accounting purposes and, indeed, for teaching purposes to an academic institution.

But the people who are benefitted by that money, on whom that money is spent is a group of journalists.

The same thing can be said about our fellowships in the legal profession, about the fellowships that we have for school administrators and in other fields.

Senator PELL. What would you say would be the basic average amount of these grants?

Dr. BERMAN. A basic fellowship grant, Senator, would have a stipend of between \$12,000 and \$20,000 a year. In addition to this, there are indirect costs that must be covered because there are expenses that come to you when a university takes a group of people, has them reside on campus, and take part in its curriculum.

Senator PELL. Here I am not talking about just the fellowships. I am talking about the totality of the money that is distributed directly by you, not through the States. I think these grants are quite a lot higher, the average of those grants, than the figure you mentioned.

Dr. BERMAN. Well, fellowships, Senator—

Senator PELL. I am not talking just about fellowships. I am talking about totality of the grants.

Dr. BERMAN. The grants will differ very greatly in each division. Each division has a characteristic ceiling and median. The fellowship median is very easy to calculate because there is a limit of \$20,000 per year for any stipend. Within programs we will find that projects have a limit of about \$180,000 and that we have characteristic limits for every kind of module of funds spent on TV or museum programing.

Senator PELL. I think you probably would agree with me that the average amount of the grant, if you put them all together, would be pretty close, \$115,000, averaging them in altogether—

Dr. BERMAN. That would be very hard for me to consider, Senator. An average grant of \$115,000 is about \$100,000 more than any fellowship grant.

Senator PELL. That is correct.

On the other hand, you have some large grants, some of which are excellent, like the Adams Chronicles, which I think you contributed \$3 million.

Dr. BERMAN. On that order of funds.

Senator PELL. Which does bring the average up.

Dr. BERMAN. Yes. But there are only one or two of those a year.

Senator PELL. What I am driving at is that the total amount that goes for public purposes, including such a large program as the Adams Chronicles, according to figures I had worked up from your reports, in fiscal year 1975, is 22 percent, which is not a very large percentage.

Dr. BERMAN. That would not be the way that we calculate it. We have established that there are a number of groups of expenditures in the Endowment, and that 20 percent of the funds by policy go to the State-based committees, and in addition to this, 30 percent of the funds go to other public sources.

Senator PELL. We are dependent, as you know, on material taken from the public reports and the information that you furnish us yourself. Sometimes we are at a little bit of a disadvantage in this regard.

My understanding from the analyses that we had made is that in fiscal year 1975, awards benefitting the general public, not including fellowships, would be about 22 percent, 136 grants in total, and they would average about \$114,000. That would be correct?

Dr. BERMAN. It is very difficult to figure out expenses in that limited category.

The 1975 budget that I have here indicates that approximately equal amounts of money have been spent in both professional and public sectors. It is very difficult—I think impossible—to leave out State-based funds, because, after all, we pay out 20 percent of what we have for those public purposes. The money is spent on public purposes.

Senator PELL. That is right.

But I think they should be, because that should be left to the discretion of the States to make that determination. You are underlining my worry, because when you say you should include the States in your figures, it is not right. The States should be individual entities of their own, making their own judgments, whether they put it a 100 percent for public purposes or a 100 percent for esoteric purposes, that is their business and should be.

Dr. BERMAN. It is not my purpose to disagree with that. I think that is an excellent point.

What we do is supply the money to the States and, indeed, do rely and have relied on their individual initiative to spend that money.

So I think there we would be in substantial agreement.

Senator PELL. Yes, but do not include them in the figures I am asking for.

If the States should choose to put the whole amount into each one program—into a particular university for example, that should be the privilege, in my view, of that State committee, and they would have the right to so determine.

The ones that you determine are the ones that come directly from Washington. Maybe you would submit then for the record the percentage and the average size of the grants exclusive of fellowships that come from Washington, exclusive of the State programs.

Dr. BERMAN. I would be very happy to do so.

[The information referred to follows:]

## Public-Oriented and Academic-Oriented Grants

## NEH GRANTS - FY 1974

<u>PUBLIC ORIENTED</u>						
Program	No. of Awards	Amount (000)		Average (000)	% Total	
		Direct	Total		Direct	Total
State-based	59	\$ 7,569	\$ 7,703	\$ 131	16%	12%
Youth Grants	35	\$ 172	\$ 172	\$ 5	4%	.3%
Bicent. Youth Debates	2	\$ 159	\$ 159	\$ 79	3%	.2%
Professions	9	\$ 1,001	\$ 1,051	\$ 117	2%	2%
Bicent. State History	1	\$ 291	\$ 291	\$ 291	1%	.5%
Cultural Institutions	--	\$ --	\$ --	\$ --	--	--
Other Public Oriented	161	\$ 9,396	\$12,380	77	19%	21%
Total:	267	\$18,588	\$21,755	\$ 81	38%	36%

<u>ACADEMIC ORIENTED</u>						
Program	No. of Awards	Amount (000)		Average (000)	% Total	
		Direct	Total		Direct	Total
Education	164	\$15,342	\$17,083	\$ 104	32%	28%
Consultant	--	--	--	--	--	--
Pilot	(24)	\$ (717)	\$ (717)	\$ (30)		
Other	(140)	\$ (14,625)	\$ (16,366)	\$ (117)		
Fellowships/Seminar	621	\$ 6,087	\$ 6,487	10	13%	11%
Research	235	\$ 7,329	\$ 11,396	57	15%	22%
Other OPA	6	\$ 446	\$ 446	\$ 74	3%	3%
Total:	1,026	\$ 29,204	\$ 37,412	\$ 38	63%	64%

NEH GRAND TOTALS:	1,293	\$ 47,792	\$ 59,200	\$ 46	100%	100%
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Totals Excluding State-based & Fellowships

	No. of Awards	Amount (000)		Average (000)	% Total	
		Direct	Total		Direct	Total
Public Oriented	199	\$ 10,018	\$ 13,001	\$ 65	30%	30%
Academic Oriented	405	\$ 23,118	\$ 31,139	\$ 77	70%	70%
NEH Total w/Exclusions	604	\$ 33,136	\$ 44,140	\$ 73	100%	100%

## NEH GRANTS - FY 1975

PUBLIC ORIENTED						
Program	No. of Awards	Amount (000)		Average (000)	% Total	
		Direct	Total		Direct	Total
State-based	63	\$ 13,529	\$ 13,689	\$ 217	21%	19%
Youth Grants	41	\$ 164	\$ 164	\$ 4	.3%	.2%
Bicent. Youth Debates	2	\$ 1,240	\$ 1,240	\$ 620	2%	1.5%
Professions	11	\$ 1,133	\$ 1,133	\$ 103	2%	1.5%
Bicent. State History	2	\$ 1,015	\$ 1,025	\$ 513	2%	1%
Cultural Institutions	2	\$ 544	\$ 544	\$ 272	1%	.5%
Other Public Oriented	179	\$ 13,183	\$ 14,919	\$ 83	21%	21%
<b>Total:</b>	<b>300</b>	<b>\$ 30,808</b>	<b>\$ 32,714</b>	<b>\$ 114</b>	<b>48%</b>	<b>45%</b>

ACADEMIC ORIENTED						
Program	No. of Awards	Amount (000)		Average (000)	% Total	
		Direct	Total		Direct	Total
Education	180	14,382	\$ 16,520	\$ 86	23%	23%
Consultant	--	\$ --	\$ --	\$ --	--	--
Pilot	(39)	\$ (1,089)	\$ (1,089)	\$ (28)		
Other	(141)	\$(13,293)	\$(15,432)	\$(109)		
Fellowships/Seminar	594	\$ 8,718	9,818	\$16.5	14%	14%
Research	247	\$ 8,875	12,404	\$ 50	14%	14%
Other OPA	9	\$ 549	809	\$ 90	1%	1%
<b>Total:</b>	<b>1,030</b>	<b>\$ 32,524</b>	<b>39,551</b>	<b>\$ 38</b>	<b>51%</b>	<b>55%</b>

NEH GRAND TOTALS	1,330	\$ 63,333	72,267	\$ 54	100%	100%
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## Totals Excluding State-based &amp; Fellowships

	No. of Awards	Amount (000)		Average (000)	% Total	
		Direct	Total		Direct	Total
Public Oriented	226	\$16,146	\$ 17,892	\$ 79	40%	38%
Academic Oriented	436	\$23,806	\$29,773	\$ 68	60%	62%
NEH Total w/Exclusions	662	\$39,952	\$47,665	\$ 72	100%	100%

## NEH GRANTS - FY 1976

<u>PUBLIC ORIENTED</u>						
Program	No. of Awards	Amount (000)		Average (000)	% Total	
		Direct	Total		Direct	Total
State-based	81	\$ 18,162	\$ 18,988	234	25%	23%
Youth Grants	44	\$ 227	\$ 231	\$ 5	.3%	.3%
Bicent. Youth Debates	1	\$ 676	\$ 896	\$ 896	1%	1%
Professions	16	\$ 1,339	\$ 1,410	\$ 88	2%	2%
Bicent. State History	1	\$ 146	\$ 146	\$ 146	.2%	.1%
Cultural Institutions	3	\$ 1,018	\$ 1,018	\$ 339	1.5%	1%
Other Public Oriented	205	\$ 11,695	\$ 14,449	\$ 70	16%	17%
Total:	351	\$ 33,263	\$ 37,138	\$ 106	45%	44%

<u>ACADEMIC ORIENTED</u>						
Program	No. of Awards	Amount (000)		Average (000)	% Total	
		Direct	Total		Direct	Total
Education	264	\$ 18,254	\$ 19,011	\$ 72	25%	23%
Consultant	(99)	\$ (370)	(370)	\$ (4)		
Pilot	(34)	\$ (1,275)	(1,275)	\$ (37)		
Other	(131)	\$ (16,681)	(17,366)	\$(132)		
Fellowships/Seminar	676	\$ 9,900	\$ 10,221	\$ 15	13%	12%
Research	271	\$ 12,168	\$ 17,504	\$ 16	16%	21%
Other OPA	10	\$ 335	\$ 395	\$ 40	.5%	.5%
Total:	1,221	\$ 40,657	\$ 47,131	\$ 39	55%	56%

NEH GRAND TOTALS	1,572	\$ 73,920	\$ 84,269	\$ (54)	100%	100%
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<u>Totals Excluding State-based &amp; Fellowships</u>						
	No. of Awards	Amount (000)		Average (000)	% Total	
		Direct	Total		Direct	Total
Public Oriented	254	\$ 13,762	\$ 16,740	\$ 66	31%	32%
Academic Oriented	545	\$ 30,757	\$ 36,910	\$ 68	69%	68%
NEH Total w/Exclusions	799	\$ 44,519	\$ 53,650	\$ 67	100%	100%

Senator PELL. The percentage that go into public purposes as opposed to those that go into the scholarly and esoteric purposes.

What trends has the National Endowment initiated in increasing support which benefits the public sector in a direct fashion?

For instance, to be specific, the Adams Chronicles, I believe that the taxpayer or the Endowment put up \$3 million. I think Atlantic Richfield, which got a fair amount of advertising out of it, put up \$1.2 million. Maybe you can clarify this.

Dr. BERMAN. I do have the figures.

The total NEH outright funding was \$1,330,000. The Federal share of gift and matching was about \$1½ million, for the total on our side of \$2.8 million. Total gifts from the Andrew Mellon Foundation, \$1.5 million; Exxon Corp., \$25,000; the total gifts being over \$1.5 million routed through NEH.

Senator PELL. Nothing from Atlantic Richfield?

Dr. BERMAN. Outright gift to WNET, accompanying the NEH gifts and matching was \$1.2 million from Atlantic Richfield. In addition to which was \$1,543,000 of cost sharing by WNET. So that there were four or five major partners in this rather large and expensive grant for a total project cost of \$7.1 million.

Senator PELL. Returning to my basic question of how or what trends are there in increasing support and benefiting the public sector in these 4 years under your leadership?

Dr. BERMAN. Well, I think we might start with a very substantial difference in the very subject that you have brought up. That is television and media.

In fiscal 1972, which is just about the time that I came, almost nothing was being spent on media programing for the general public. There were occasional stabs at doing something for public TV, but no attention had been paid to other media, for example radio, for example film, or perhaps most interesting of all, the use of media like newspapers.

It struck me forcibly when you spoke about oceanography, because indeed oceanography is a subject of one of our most extensive and most useful grants this year. There are over 400 newspapers that will be running our courses by newspaper which this coming year will deal with the oceans. It concerns uses of the ocean, precisely how they may be adapted to public use, how they may be cultivated. The very concerns you have yourself elaborated quite justifiably, I think, are exactly the concerns of the Endowment in those two areas, the specific subject of oceanography and the medium through which that subject is presented to a very large public—in this case newspapers.

In addition, I have only mentioned one of these media, but the sum of millions of dollars, of \$6 million that I mentioned before, takes into account a number of attempts by the Endowment to give very consistent and very instructive television diffusion to most people. We are talking about audiences of very large sizes.

We find, for example, that the "Adams Family Chronicles" was watched by 14 percent of the available audience when WNET projected it. We find by using statistics of WNET that some 20 million people were able to watch this.

It is our sincere hope that many of these were from the grass-root sectors of America that you have yourself found to be so compelling and so necessary an audience for what we do.

In addition to this, there was the Japanese film series that was done by former Ambassador Peischauer; before that, "War and Peace," which had been acquired by the Endowment and was generally thought to be one of the very best things ever put in television.

Before that, "Classic Theater."

So when you add up all these multiweek series, we find that they aim for a share of the public television market that will average out to between 1 and 2 hours each week, that try to attract audiences of up to 20 million people, and that try and diffuse what they watch through cooperative arrangements with colleges, urban libraries, and other smaller institutions and sources of learning. That is only in the media field.

Would you like me to address myself to other direct public uses?

I think it might be useful, for example, if we were to talk about museums.

Senator PELL. What I am driving at is, I would like to get from you, and I think I have it, if I understand what you have been saying, the use of public versus esoteric—whatever the word would be—scholarly purposes for the money under your jurisdiction. About 30 percent of the money is going to public purposes and 70 percent to more esoteric. Is that a correct statement?

Dr. BERMAN. No; it is not. It is not 70/30. It is about 50/50.

Senator PELL. You are including the States?

Dr. BERMAN. Even if I did not include the States, we could not have 70 percent of the Endowment money left over. That is, if we deduct 20 percent of the Endowment expenditures on the State-based program, that leaves us 80 percent. If we deduct so-called 30 percent in the non-public, that is 50 percent.

Senator PELL. What I am talking about is 80 percent. What percentage is that, not including State programs, is spent for public purposes, and what percentage of that for esoteric purposes?

Dr. BERMAN. The Endowment does not break its expenditures, Senator, in that way. A tremendous amount of all the money spent goes to institutions of learning, goes also similarly to the public.

For example, the grants that we give to the Boston Public Library. The grants that we give to other academic institutions are diffused to a great many other institutions and individuals. They don't remain simply within an institution of learning. They are not consigned to professional uses.

Let me give you the best example, sir, if I may.

I pointed out this group of histories here [indicating books]. Here is West Virginia, Michigan, Colorado volumes. Now, this money has gone to the American Association for State and Local History. It is a very large grant. It goes into many hundreds of thousands of dollars.

On the surface, that grant has gone through a group of scholars. But the only reason that that money went to them was in order to make their work available to the public. We expect enormous readership of all these 50 volumes, and these men have been laboring to that single end. So it is not esoteric scholarship, but books produced at standard costs, very low indeed, for the purpose of great dispersion and public utility.

The CHAIRMAN. How are they distributed? They are sold?

DR. BERMAN. We have arranged, Mr. Chairman, a contract with Norton Company, which takes complete care of all of the physical expenses, promotional expenses, and transportation and selling expenses for this set. We have paid the AASLH enough money to have the books researched and edited. We expect that due to usual royalty arrangements, after enough of these are sold, that the AASLH conceivably could get back every penny of Federal money and get it reinvested for the humanities. Even if we did not, at this time all physical, promotional and sales costs are taken up in the private sector by Norton Company.

THE CHAIRMAN. Is there a uniform price for each of these?

DR. BERMAN. There is. The hard-cover volume is \$8.95. The paperback should be less than half of that. It is a very low price for hard cover these days. The paperback should be around \$3.

That is a perfect example of 50 scholars working on their thing, which is yet designed for an audience that has to be considered in terms of hundreds of thousands, the greater part of whose support is taken up by the private sector, that is Norton Company.

Senator PELL. I would agree with you. I think it is an excellent project. It has not been done since the WPA series—in my State of Rhode Island, the last definitive book written was completed in that WPA era, in the thirties, but we are in our estimate including those books, specifically that project. We included specifically museums as being in the public sector. The figures we came out with were in the last fiscal year approximately a quarter were for public purposes, and that includes those books, and museum grants, and three-quarters for nonpublic purposes, exclusive of the States. I keep emphasizing that point. This is your 80 percent.

Maybe you can submit for the record the figures that would show that our research, which is not all that complete because we are dependent on you for the sources, where it is wrong. And the figures I have are 22 percent, fiscal 1975; 25 percent, fiscal 1974, for grants awarded for public purposes—

DR. BERMAN. We would be happy to submit that to show whether you are either right or wrong; be happy to.

Senator PELL. I would appreciate it. I mean to include museums and those books in that 22 percent. Also in your submission if you would include the number of grants and the average dollar amount of those grants.

DR. BERMAN. Be happy to, Senator.

[The information referred to appears on p. 32.]

Senator PELL. Thank you.

Now I want to explore for a little bit the question where geographical terms and institutional terms grants are made.

What percentage of total grant funds for each of the last 3 fiscal years went to each of the various HEW regions of our Nation? That is as good a way as any of dividing up the country, and it would be complicated to do it for each State.

DR. BERMAN. I have the information by States here, of course, not by HEW regions, which are not part of our records. The figures are going to vary from time to time. We will be happy to submit each State, of course, as a part of the record.

Senator PELL. Thank you.

Dr. BERMAN. It should be noted, of course, that money going to a State does not all the time remain in that State.

For example, the very enterprise that I have pointed out, the State histories, has gone to this AASLH office, but ordinarily, since branches are located in 50 different States, the money has been expended in those 50 different States.

Senator PELL. If you would submit to us the figures you have there, and somebody in your office could also break those down into regions—regions or certain composite number of States—for the last 3 fiscal years.

Dr. BERMAN. We would be happy to.

[The information referred to follows:]

## NEH AWARDS BY HEW REGION, FY 1974

Region	Awards for Individual/ Local/State Projects		Awards for Regional/ National Projects	Total NEH Awards		Percent of National Faculty	Percent of National Population
	Amount	Percent		Amount	Percent		
Region I	\$ 4,998,857	13%	\$ 5,880,503	\$10,879,460	21%	7%	6%
Region II	9,706,344	25%	4,312,703	14,019,059	26%	14%	13%
Region III	4,536,570	12%	348,783	4,885,353	9%	11%	11%
Region IV	3,772,344	10%	76,336	3,848,680	7%	15%	16%
Region V	6,123,097	16%	1,248,975	7,372,072	14%	20%	21%
Region VI	1,873,634	5%	30,902	1,904,536	4%	9%	10%
Region VII	1,263,098	3%	36,826	1,299,924	2%	6%	5%
Region VIII	1,393,101	4%	315,081	1,708,182	3%	3%	3%
Region IX	3,670,282	10%	2,983,217	6,653,499	13%	12%	11%
Region X	1,250,117	3%	--	1,250,117	2%	4%	3%
Total	38,597,444	100%	14,478,873	53,076,317	100%	100%	100%
National Organizations	--	--	6,146,904	6,146,904	--	--	--
Other Grants	16,788	--	--	16,788	--	--	--
Grand Total	38,597,444	--	20,625,777	59,240,009	--	--	--

## NEH AWARDS BY HEW REGION, FY 1975

Region	Awards for Individual/ Local/State Projects		Awards for Regional/ National Projects		Total NEH Awards		Percent of National Faculty	Percent of National Population
	Amount	Percent	Amount	Percent	Amount	Percent		
Region I	\$ 5,811,306	13%	\$ 1,259,497	11%	\$ 7,070,803	11%	7%	6%
Region II	5,120,068	11%	5,566,625	17%	10,686,333	17%	14%	13%
Region III	4,652,601	10%	1,369,179	10%	6,021,780	10%	11%	11%
Region IV	4,327,170	9%	529,703	8%	4,856,873	8%	15%	16%
Region V	10,298,284	22%	4,567,748	24%	14,866,032	24%	20%	21%
Region VI	3,111,673	7%	500,131	6%	3,611,804	6%	9%	10%
Region VII	2,615,772	6%	575,861	5%	3,191,633	5%	6%	5%
Region VIII	2,695,458	6%	255,606	5%	2,921,064	5%	3%	3%
Region IX	5,337,662	12%	2,025,578	12%	7,363,240	12%	12%	11%
Region X	2,012,802	4%	38,842	3%	2,051,644	3%	4%	3%
Total	45,982,805	100%	16,658,410	100%	62,641,215	100%	100%	100%
National Organizations	--	--	9,599,567	--	9,599,567	--	--	--
Grand Total	45,982,805	--	26,257,977	--	72,240,782	--	--	--

## NEH AWARDS BY HEW REGION, FY 1976

Region	Awards for Individual/ Local/State Projects		Awards for Regional/ National Projects		Total NEH Awards		Percent of	
	Amount	Percent	Amount	Percent	Amount	Percent	National Faculty	National Population
Region I	\$ 7,450,498	13%	\$ 2,836,452	13%	\$10,286,950	13%	7%	6%
Region II	9,482,761	16%	7,849,759	22%	17,332,520	22%	14%	13%
Region III	6,311,273	11%	1,183,591	10%	7,494,864	10%	11%	11%
Region IV	5,499,622	9%	875,942	8%	6,375,564	8%	15%	16%
Region V	12,366,387	21%	2,333,509	19%	14,699,896	19%	20%	21%
Region VI	4,563,907	8%	183,078	6%	4,746,985	6%	9%	10%
Region VII	1,987,447	3%	740,860	4%	2,728,307	4%	6%	5%
Region VIII	1,915,314	3%	215,044	3%	2,130,358	3%	3%	3%
Region IX	5,298,184	9%	2,830,399	10%	8,128,583	10%	12%	11%
Region X	3,546,307	6%	257,375	5%	3,803,682	5%	4%	3%
Total	58,422,000	100%	19,306,009	100%	77,728,009	100%	100%	100%
National Organizations	--	--	6,511,407	--	6,511,407	--	--	--
Other Grants	30,000	--	--	--	30,000	--	--	--
Grant Total	\$58,452,000	--	\$25,817,416	--	\$84,269,416	--	--	--

Senator PELL. Do you have a feeling of the relationship between the population of each State or each region as opposed to the percentage of funds spent in that region?

Would you say they are roughly parallel, or would you say they indicate a discrepancy?

Dr. BERMAN. It seems to me the bulk of our applications come from places with the bulk of our population. Necessarily, applications have to come from where the Humanities institutions and where Humanities personnel are located. In any given area, the way in which we spend appropriated money will depend on the requests that come in. One of the interesting things, of course, is that there are sometimes very light requests from a State, let us say, like Nevada.

Senator PELL. Like what?

Dr. BERMAN. A State like Nevada, which is lightly populated, has few institutions of the kind familiar in the world that we deal with. The interesting thing might be to see how in proportion to the requests for money are the grants that are awarded.

Senator PELL. I think if you could submit that information, it would be of value, and I think it would be interesting.

Dr. BERMAN. Would be very happy to.

Senator PELL. When we are talking about grants, it becomes complicated, I realize, because you have both actual program grants, whatever you wish to call them, and various categories of individual fellowship grants.

Obviously, program grants can sometimes be large and sometimes small.

Fellowship grants are usually more uniform in size.

I am interested in the pattern of your grants, both the program grants and the individual grants, and how many have been awarded, if maybe your staff would make notes of this; or if you have a feeling for it now, I would be very interested.

Dr. BERMAN. I do have a feeling for it now, Senator.

The largest grants we have, for example, have tended recently to go to some of our smallest places. For example, a development grant to St. Anselm's College in Manchester, N.H., year before last; this year, Loyola College of New Orleans; also last year to San Francisco State.

Generally, the large amounts of money do not necessarily go to the large and well-developed places, or even to large and well-developed centers of population. They respond to the applications themselves.

I think you can see, from knowing a little about St. Anselm's, or Loyola or San Francisco State, or previous winners, like the University of Denver; these are small schools that require large sums of money precisely because they ought to be developed and improved.

Senator PELL. I guess if one wanted to characterize the different groups, you might say that there are eight, as I have it worked out here. We have got private 4-year education institutions. We have got public land grant or 4-year education institutions. We have the public 2-year community college institutions. We have the museums and libraries, located in urban areas, and we have institutions such as museums and libraries not located in urban areas, that is, standard metropolitan statistical areas.

We have noninstitutional applicants, such as community clubs, fraternity organizations, unions, and business groups.

We have got minority groups, which have been very much under-represented in academic and scholarly levels in the past, such as womens groups, blacks, Spanish speaking, and the like. And then, finally, various public, private, and elementary and secondary school systems.

I think it would be of interest from the taxpayer's viewpoint knowing how the dollars are spent, if you could let us have the breakdown, both in dollars and percentages.

Dr. BERMAN. We have some of those broken down. I have some here. I think for general convenience, it would be better if I did hand them in as you have suggested. I can remark on some interesting statistics right now.

Out of 256 education grants in the last year, 8 of them went to the Ivy League; 248 went to places that needed the money a good deal more, smaller places, well-dispersed places, not concentrated at all in terms you ordinarily think of.

Ninety-eight percent of our museum funds have gone to small museums that I can exemplify by this list. Places like Bellingham, Wash., the Whatcom Museum of History; Oregon State Branch in Salem; Museum of Great Plains, Lawton, Okla.; Historical Museum Grand Junction, Colo.; Polk County Museum of Dallas, The Dallas, Oreg.

We have been careful to keep exactly that kind of record in order to indicate that although we do a tremendous amount of important work with international exhibitions, we also try to rely very heavily on the dispersion of Federal funds to places where they will be of most use.

Finally, the subject of minorities that you have mentioned.

I have tried to prepare myself as well as possible. I do wish to enter into the record a letter from the National Commission on the Observance of International Women's Year by Jill Ruckelshaus, praising the Endowment in very expansive terms for the work it has done, the way it has treated the ladies on the Committee for the Observance of International Womens Year, and its general attitude in dispersion of grants.

[The letter referred to follows:]



NATIONAL COMMISSION  
ON THE OBSERVANCE OF  
INTERNATIONAL WOMEN'S YEAR, 1975  
December 9, 1975

Presiding Officer  
Jill Ruckelshaus  
Alan Alda  
Ethel Allen  
Anne L. Armstrong  
Margaret Long Arnold  
Elizabeth Athanassakos  
Barbara R. Bergmann  
Patricia T. Carbine  
Weston Christopherson  
Mary Stallings Coleman  
Helen K. Copley  
Audrey Rowe Colom  
Richard Cornuelle  
Winfield Dunn  
Casey Eike  
Paula Gibson  
Gilda Bojorquez Gjurich  
Ella T. Grasso  
Hanna Holborn Gray  
Martha Griffiths  
Katharine Hepburn  
Lenore Hershey  
Velma Murphy Hill  
Patricia Hutar  
Rita Z. Johnston  
Ellen Groves Kirby  
Dorothy Vale Kissinger  
Clare Boothe Luce  
William Crawford Mercer  
Erna H. Poston  
Sister Joel Road  
Betty Smith  
Barbara Walters  
Annie Dodge Wauneka  
arridee Wheeler  
sp. Bella Abzug, New York  
Sen. Birch Bayh, Indiana  
Rep. Margaret Heckler, Mass.  
Sen. Charles Percy, Illinois

Mr. Ronald Berman  
Chairman  
National Endowment  
for the Humanities  
806 - 15th Street, N.W.  
Washington, D.C. 20506

Dear Mr. Berman:

I want to express our special appreciation to the Endowment for its appearance before our Arts and Humanities Committee on December 4. The Chairman and members of the Committee have told me of the very welcome candor, thoroughness, and sensitivity with which Mr. Kingston and the members of the Endowment staff have studied the questions we raised and with which they have prepared their excellent testimony. The Committee considers this one of the most rewarding and thoughtful of their hearings.

It was of special regret to us, therefore, to find that the only news article on the hearing, which was of course open to the public and press, should have been inaccurate as to some key points in the prepared testimony of Mr. Kingston and in the subsequent discussion between the Endowment staff and the Committee. We particularly regret that the article did not bring out the Endowment's very good record on employment of women as program heads and in other senior positions -- a record equalled by few other Federal agencies.

The headline on the article -- for which, of course, a reporter is not responsible -- is also misleading.

IWY Coordinator  
Mildred Marcy  
Room 1004  
U. S. Department of State  
Washington, D.C. 20520  
202-632-8888

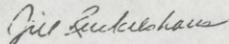
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The "IWY Group Criticizes Endowment Agency" does not reflect the spirit in which individual members of our Arts and Humanities Committee raised questions to Endowment representatives, nor at any time did the group as a whole "criticize the Endowment".

The Committee did, of course, in its discussion, welcome the opportunity to explore those areas where women appeared to be at a disadvantage -- in their proportionally low representation on most review panels, for example, or in their lower rate of applications. The Committee was particularly encouraged that the Endowment's policy of making women senior fellowships awards reflect women's lower academic salaries would be changed, and thus no longer perpetuate academia's long established unequal pay scales for women scholars.

Again, let me say how much we welcome the cooperative and helpful spirit with which the Endowment has worked with us. I hope that our thanks can be conveyed to Mr. Kingston and other Endowment representatives who were responsible.

Sincerely,



Jill Ruckelshaus (Mrs.)  
Presiding Officer

Senator PELL. Along that line, maybe you could submit to us for the record, then, in each of the last 3 years under your leadership how much in dollars has gone to women's organizations, business organizations, labor groups, bilingual groups, senior citizens groups, and handicapped organizations; and we will give you those categories for your response.

Dr. BERMAN. Very pleased to.

It might be worth noting we have had especially good relationships with labor. A very large number of people from labor have been on our State-based committees; and we indeed hope that this representation can be maintained.

So far as we can observe, there have been more people on the Humanities State committees than in other alternative forms, such as, for example, the arts councils.

The people from labor have also been involved in consulting, planning and in grants.

We are happy to say George Meany is a member of our bicentennial youth debates national advisory board, that Gus Tyler was one of the 10 original members of the American issues forum; and that the following organizations from labor have been represented: The United Auto Workers of Michigan; United Steel Workers of Pennsylvania; International Ladies Garment Workers, et cetera.

I do not want to be tedious in reciting this list. Let me simply say that we have had a large number of representatives from labor. They represent a large proportion of labor organizations, basically AFL-CIO. And that people like Mr. Meany and Mr. Tyler have actively worked in some grants.

Senator PELL. How many members on your National council do you have represented by labor?

Dr. BERMAN. As you well know, the National council is appointed by the President. The endowment does have the power of recommending to the President choices that would be appropriate for representing a good many interests and constituent parts of the academic and public parts of the world we live in.

At present there is no one on the council who comes from the world of labor, and yet I think I can say safely that recommendations have gone from the endowment to the White House explaining this situation, finding it entirely reasonable to have labor represented, and mentioning specific individuals.

Senator PELL. The fact is that your recommendation has not been acted on favorably as of yet?

Dr. BERMAN. The President has not nominated people from organized labor as of yet.

Senator PELL. Senior grants, senior awards, were mentioned. I am wondering if you feel that the spread is being just as wide as the spread in program grants which you touched upon?

Dr. BERMAN. I do not think so, Senator. The total funds available currently for fellowships are about \$11 million. The funds available for independent fellowships are about \$3 million. Perhaps we ought to dispose of the context first.

The \$8 million that remain are addressed to some as stipends, some as seminars, seminars-in-residence, fellowships for the professions, and in every one of these there is the most enormous spread, and the most

clearly conceived and carried out intention of disbursing Federal money to small colleges, to people from teachers colleges, to junior colleges and to community colleges.

It remains in order to find some kind of a balance what we shall do for those people who have excellent ideas that require large-scale resources, that have to be worked out quite painstakingly by experienced scholars.

It turns out that about one-quarter or roughly \$3 million out of \$11 million of our independent grants are judged solely on the grounds of a meritorious ability to produce important scholarship research. Incidentally, it is done in order to guarantee for the future that the teachers who grow up, the teachers who mature and develop will have come under this program and able to lead useful, communal as well as personal professional lives.

So we have a fellowship program in which about a quarter, perhaps between a quarter and a third, of the funds, are relegated to the professional research of materials that will probably result in important publications.

Senator PELL. The most prestigious award you have is the senior fellowship award?

Dr. BERMAN. Independent fellowship award; right.

Senator PELL. I am not sure those would follow that same pattern. For instance, I think about half—I am delighted to say this to the Senator from the Northeast, as chairman of the full committee—about half go to our five Northeastern States and in Connecticut they all went to—I will not say your alma mater, but to Yale, which would not quite be as broad ranged as you are suggesting.

Dr. BERMAN. I think they do not indicate such broad range for several reasons. One, of course, is that it is going to vary from year to year where these fellowships go. Yet, I think preponderantly these fellowships will go to the best individuals that we can find.

Now, we respond only to applications. This is not to say that we gave everyone who applied from Yale University a fellowship. It is only to say the people who were at Yale University were more than usual successful in applying this year for fellowships. But the entire point is I think this: We are only talking about a very small sum of the fellowships available from the Endowment to the Nation. They are dwarfed not only by the amount of money, but by the hundreds and hundreds, more than a thousand other fellowships that are carefully awarded to benefit people from small colleges, people from ethnic or racial minorities, and people who are interested in teaching expressly.

So if we are looking at this small sample, it may well be true that people who are from great centers of population, large and practiced centers of academic life and history, will do rather well.

Senator PELL. New Hampshire is not a great center of population. I think your statement maybe is correct that applicants of Yale were awarded senior fellowships, but no applicant from Connecticut College was awarded one, or am I correct in my statement that in Connecticut, all senior fellowships did go to Yale—

Dr. BERMAN. I have not checked on the—

Senator PELL [continuing]. In 1975.

Dr. BERMAN. We would have to see what other fellowships were awarded to the State of Connecticut. I would be really surprised if that State did not get a set of other fellowships, summer stipends, summer seminars, seminars-in-residence.

Senator PELL. If you could check that for fiscal 1975—I have got nothing against Yale at all; I was just struck by that.

Then I understand also in fiscal 1975, Ohio State University, with a rather large faculty, 3,600, 53,000 students, received, in all kinds of grants, not senior fellowship grants, but all grants, \$134,000, while Yale, a great deal smaller, received \$3,300,000.

I am not just including senior fellowships there. I am including the total range of grants.

What would be the reason for this disproportion?

Dr. BERMAN. One reason is that the National Institute for Humanities is located on the Yale campus and that this Humanities Institute invites fellows from all over the country—for example, a good number of them from small colleges in the Midwest—to come and have their studies supported while they are at Yale. They are under obligation to return to these small places and institute in teaching and research programs material that they have developed at the Yale Institute.

We might notice, if we take the case of public institutions like SUNY in New York, or the University of California, they will compare very well indeed with any other private institution.

Senator PELL. If you would submit to us for the record the information I have asked about the breakdown on these fellowships, the senior fellowships, the most prestigious ones, how many of those went to women?

Dr. BERMAN. We have the numbers. They have slipped my mind momentarily. We have done something of interest there. We have tried to establish the number of scholarships that were awarded to women vis-a-vis the number of women who have applied. We have found, somewhat to our gratification that we are not doing badly there at all.

[The information referred to follows:]

National Endowment for the Humanities  
Fellowship Applications and Awards

Fiscal Year 1975

COLLEGE FACULTY	INDEPENDENT (Formerly SENIOR)		RESIDENTIAL		SUMMER SEMINAR		SUMMER STIPEND		TOTAL Appli- Awards cents	% OF TOTAL AWARDS NATIONAL FACULTY	STATE FACULTY AS % OF NATIONAL FACULTY
	Appli- cents	Awards	Appli- cents	Awards	Appli- cents	Awards	Appli- cents	Awards			
<u>REGION I</u>											
Connecticut	84	0	12	1	51	14	20	4	161	28	2.3
Maine	6		11	1	22	6	6	1	41	12	1.0
Massachusetts	145	1	18	5	81	16	112	15	312	49	4.0
New Hampshire	16	1	6	1	20	5	6	1	48	6	0.5
Rhode Island	17	0	6	2	5	1	7	2	61	7	0.6
Vermont	11		6		11	6	7	1	31	7	0.6
Total	289	2	70	11	190	48	101	33	651	109	9.0
<u>REGION II</u>											
New Jersey	66	12	14	1	68	20	21	7	171	40	3.3
New York	367	24	60	16	224	35	132	31	789	106	8.7
Puerto Rico	3	-	6	1	31	3	1	-	41	4	0.3
Total	436	36	80	18	323	58	165	38	1,004	150	12.3
										13.7	13.7

COLLEGE FACULTY	INDEPENDENT (Formerly SENIOR) Appli- Awards cants	RESIDENTIAL		SUMMER SEMINAR		SUMMER STIPEND		TOTAL Appli- Awards cants	% OF TOTAL AWARDS NATIONAL FACULTY		
		Appli- Awards cants	Awards	Appli- Awards cants	Awards	Appli- Awards cants	Awards				
<u>REGION III</u>											
Delaware	5	-	-	15	1	3	1	23	2	0.2	0.3
Maryland	38	2	17	66	17	27	7	148	30	2.5	1.7
Pennsylvania	142	13	32	178	52	71	17	423	90	7.4	5.1
Virginia	45	3	20	99	29	28	2	192	39	3.2	2.3
Washington, D.C.	59	3	2	4	1	16	1	81	7	0.6	0.9
West Virginia	15	-	7	63	13	11	-	96	14	1.1	0.8
Total	40,904	304	21	78	20	425	113	963	182	15.0	11.1
<u>REGION IV</u>											
Alabama	14	-	7	32	11	11	-	64	12	1.0	1.5
Florida	39	-	14	77	15	18	3	148	20	1.6	3.0
Georgia	23	1	10	82	15	10	1	125	19	1.6	2.0
Kentucky	23	-	11	51	14	21	3	106	21	1.7	1.3
Mississippi	2	-	7	40	5	6	1	55	8	0.7	1.1
North Carolina	59	8	19	117	33	33	9	228	50	4.1	3.0
South Carolina	17	-	6	50	15	11	-	84	16	1.3	1.2
Tennessee	29	1	10	75	20	20	5	134	30	2.5	2.0
Total	55,260	206	10	84	16	524	128	944	176	14.5	15.1

REGION	COLLEGE FACULTY	INDEPENDENT (FORMERLY SENIOR)		RESIDENTIAL		SUMMER SEMINAR		SUMMER STIPEND		TOTAL		STATE FACULTY TOTAL AS % OF AWARDS NATIONAL FACULTY	
		Appli- cants	Awards	Appli- cants	Awards	Appli- cants	Awards	Appli- cants	Awards	Appli- cants	Awards	%	OF
REGION V													
Illinois	19,761	129	9	49	11	171	38	59	9	408	67	5.5	5.4
Indiana	8,307	66	5	8	3	92	27	34	4	200	39	3.2	2.3
Michigan	13,189	100	5	27	11	121	30	31	4	279	50	4.1	3.6
Minnesota	7,276	46	2	18	8	101	22	32	4	197	36	2.9	2.0
Ohio	15,076	82	1	26	5	138	33	45	9	291	48	3.9	4.1
Wisconsin	9,062	76	5	17	6	63	16	34	4	190	31	2.5	2.5
Total	72,671	499	27	145	44	686	166	235	34	1,565	271	22.1	19.9
REGION VI													
Arkansas	2,385	2	-	4	-	23	4	8	3	37	7	0.6	0.6
Louisiana	5,519	22	-	8	1	39	10	27	3	96	14	1.1	1.5
New Mexico	1,738	19	-	6	1	19	2	7	2	51	5	0.4	0.5
Oklahoma	4,195	13	-	7	1	32	4	14	2	66	7	0.6	1.1
Texas	18,295	77	-	32	5	153	33	44	7	306	45	3.7	5.0
Total	32,132	133	-	57	8	266	53	100	17	556	78	6.4	8.7

	COLLEGE FACULTY	INDEPENDENT (Formerly SENIOR) Appli- Awards cants	RESIDENTIAL Appli- Awards cants	SUMMER SEMINAR Appli- Awards cants	SUMMER STIPEND Appli- Awards cants	TOTAL Appli- Awards cants	% OF TOTAL AWARDS	STATE FACULTY AS % OF NATIONAL FACULTY				
<u>REGION VII</u>												
Iowa	5,862	18	14	2	62	15	13	1	107	19	1.6	1.6
Kansas	4,562	30	11	2	58	8	18	2	117	13	1.1	1.2
Missouri	7,410	52	9	2	90	22	22	3	173	28	2.3	2.0
Nebraska	3,132	11	3	1	34	9	5	1	53	11	0.9	0.9
Total	20,966	111	37	7	244	54	58	7	450	71	5.9	5.7
<u>REGION VIII</u>												
Colorado	5,475	42	4	-	27	9	11	1	84	11	0.9	1.5
Montana	1,339	7	4	3	28	8	8	1	47	12	1.0	0.4
North Dakota	1,313	-	1	-	36	2	4	-	41	2	0.2	0.4
South Dakota	1,272	-	3	1	16	5	6	-	25	6	0.5	0.3
Utah	2,231	17	3	-	12	1	8	-	40	1	0.1	0.6
Wyoming	901	3	4	-	7	4	2	-	16	4	0.3	0.2
Total	12,531	69	19	4	126	29	39	2	253	36	3.0	3.4

COLLEGE FACULTY	INDEPENDENT (Formerly SENIOR)		RESIDENTIAL		SUMMER SEMINAR		SUMMER SYMPOSIUM		TOTAL	STATE FACULTY TOTAL AS % OF AWARDS NATIONAL FACULTY		
	Applicants	Awards	Applicants	Awards	Applicants	Awards	Applicants	Awards		Applicants	Awards	
<u>REGION IX</u>												
Arizona	4,042	15	3	-	27	3	13	2	60	5	0.4	1.1
California	36,380	300	54	7	254	52	111	23	719	103	8.4	9.9
Hawaii	1,560	15	1	-	8	2	3	1	27	3	0.2	0.4
Nevada	606	2	-	-	2	-	3	-	7	-	-	0.2
Total	42,588	332	58	7	291	57	132	26	813	111	9.0	11.6
<u>REGION X</u>												
Alaska	449	2	-	-	3	-	-	-	6	-	-	0.1
Idaho	1,364	6	-	2	8	3	5	-	22	5	0.4	0.4
Oregon	4,490	29	1	1	51	10	13	1	104	13	1.1	1.2
Washington	6,665	43	2	5	55	11	11	2	125	20	1.6	1.8
Total	12,968	80	3	8	117	24	29	3	257	38	3.1	3.5
<u>OTHER</u>												
		27	-	-	3	-	2	-	33	-	-	-

NEH Fellowship Support for Women

Statistics on total NEH direct fellowship support awarded to women indicate that generally women have fared better than men: while women comprised 20 percent of the applicants in 1975-76, they received about 22 percent of the awards. Detail by program is shown below.

<u>Program</u>	<u>Applicants</u>			<u>Grantees</u>		
	<u>Total</u>	<u>No. of Women</u>	<u>% of Total</u>	<u>Total</u>	<u>No. of Women</u>	<u>% of Total</u>
Independent	2,486	460	18	151	19	13
Residential	661	146	22	141	31	22
Summer stipends	<u>1,150</u>	<u>252</u>	<u>22</u>	<u>201</u>	<u>57</u>	<u>28</u>
Total	4,297	858	20	493	107	22

Senator PELL. I thank you very much, indeed.

I would like to explore with you now for a few moments just who has been applying for these funds; what sort of individuals they are.

Are there any trends here which should be examined or encouraged? For example, how many grant applications have you received in the past 3 fiscal years?

Dr. BERMAN. We are going to average—I can give you a rough figure on this—I would say that is in the vicinity of 18,000.

Senator PELL. What was that again?

Dr. BERMAN. A rough figure, Senator; would be 18,000 applications received over the last 3 fiscal years. That is aggregate.

Senator PELL. About 18,000 over the last 3 fiscal years?

Incidentally, returning to Yale for a moment, who is it that directs the Yale program that you are describing?

Dr. BERMAN. Right now it is Maynard Mack. It is my understanding he is going to be replaced by a younger faculty member on his impending retirement.

Senator PELL. In this connection, I just want to be satisfied that I heard this. Was Mr. Mack one of your original supporters for the position you hold?

Dr. BERMAN. I think he probably was. Of course, Neil Harris, who got an identical grant at the University of Chicago, was not.

Senator PELL. Maybe his turn will come.

I am concerned also about the role of the handicapped. I am curious if you have any philosophy in the endowment to follow the handicapped; if there is any effort made to try to make sure that they get full access to applications for grants?

Dr. BERMAN. Yes, Senator.

We have tried to exercise some care there, especially in American Issues Forum; we have worked with the national associations that deal with the blind. There is this statement from the Chicago, Ill., Sun-Times: "Senior citizens, handicapped, would-be workers, newly unemployed will be gathering today to talk about"—and then they go into the kind of endowment grant that is available to them.

I think it most serious and commendable interest to be concerned over the handicapped; and we have tried to make our funds available to associations and individuals.

Senator PELL. You have no figures?

Dr. BERMAN. I think it might be possible to work up figures on the handicapped. But people do not often identify themselves when they apply unless they are applying on behalf of some national organization. So that the figures we can give you are bound to be only to a certain degree accurate.

Senator PELL. Thank you.

Would you, in addition to furnishing us the dollar figures I asked you for earlier, would you furnish for us the number; the quantity of grant applications you received in these past 3 years from private 4-year educational institutions, public 4-year educational institutions, community colleges, institutions such as museums and libraries, which are in urban areas, and those which are not in urban areas, with the definition of "urban area," as I said earlier, being standard metropolitan statistical areas. Also from noninstitutional applicants and minority groups, groups which have been underrepresented in the academic endeavors in the past.

If you can furnish that material, broken down by number of applications.

Dr. BERMAN. We will try to do that, Senator.

Senator PELL. Thank you very much.

[The information referred to and subsequently supplied follows:]

NEH Grant Applications, by HEW Region, FY 1974-76\*

	<u>FY 1974</u>	<u>FY 1975</u>	<u>FY 1976</u>
Region I	288	269	270
II	422	376	366
III	305	324	289
IV	191	168	178
V	322	348	377
VI	89	106	107
VII	80	88	70
VIII	56	62	63
IX	279	250	227
X	60	40	67

\*Excludes approximately 4,000 Fellowship Division applications and 6,000-8,000 applications annually submitted directly to other organizations (e.g. NEH State-based committees; universities conducting NEH Summer Seminars) administering NEH-supported regrant programs. Also excludes applications from individuals presently residing outside the United States and its territories (FY 1974: 4; FY 1975: 3; FY 1976: 5).

GENERAL TRENDS IN GRANT APPLICATIONS

Question 1: How many grant applications have you received in each of the past three fiscal years?

A. Total NEH applications are as follows:

	<u>1974</u>	<u>1975</u>	<u>1976</u>
1. Grant applications	2,096	2,034	2,019
2. Fellowship applications	4,069	4,706	4,122
(Total direct applications)	(6,165)	(6,740)	(6,141)
3. Summer seminar participant applications	<u>2,038</u>	<u>3,195</u>	<u>3,523</u>
Total	8,203	9,935	9,664

Notes: 1. The above data exclude applications submitted to NEH state-based programs for public-oriented projects (approximately 4,000-6,000 during this period); to the National Humanities Institutes administered for NEH by Yale University and the University of Chicago and to other short-term NEH-supported institutes; to the American Council on Learned Societies for NEH-funded fellowship, small-grant research, and travel grant programs; to universities administering NEH seminars for the professions; to the American Association for State and Local History, which administers the NEH in-servicing training seminars for museum personnel; and to other regrant programs aided by the Endowment but administered by other organizations.

2. If sent directly to NEH, applications for these various activities would add 6,000-8,000 applications to the totals shown above. It should also be noted that while substantive programmatic factors rather than purely administrative ones were responsible for the recommendation by the National Council on the Humanities that NEH create or support the regrant activities cited above, the administrative workload involved in simply processing those additional 6,000-8,000 applications would require 30-40 additional agency personnel.

3. The data presented on the following pages, unless otherwise noted, refers only to grant applications, the first category shown above, and exclude fellowship and summer seminar applications.

Question 2. How many grant applications have you received (and from what types of groups) in each of the past three years?

Answer:

NEH Grant Applications, by Type of Applicant, FY 1974-76\*

<u>Type of Applicant</u>	<u>FY 1974</u>	<u>FY 1975</u>	<u>FY 1976</u>
a. Private 4-year college	182	173	177
b. Public 4-year college	118	54	50
c. Private 2-year college	8	9	9
d. Public 2-year college	31	35	49
e. Private university	299	299	247
f. Public university	662	538	519
g. Museums, libraries and historical societies located in SMSA's	127	145	163
h. Museums, libraries and historical societies <u>not</u> located in SMSA's	66	99	76
i. Non-institutional applicants	329	428	443
j. Minority and under-represented groups	23	16	23
k. Individuals	223	204	217
l. Public elementary and secondary schools	22	23	39
m. Private elementary and secondary schools	6	11	7

\*Excludes approximately 4,000 Fellowship Division applications and 6,000-8,000 applications annually submitted directly to other organizations (e.g. NEH State-based committees; universities conducting NEH Summer Seminars) administering NEH-supported regrant programs.

General Trend in Applications

Question 21: Has the NEH taken any steps to encourage minority groups and non-traditional applicants (such as community groups) to apply for support?

Answer: The Endowment has taken certain steps specifically to encourage non-traditional applicants. For the sake of clarity, these efforts can be divided into two broad categories: (1) efforts made to inform individuals, groups, and communities about the Endowment and its programs and (2) programs established by NEH that are expressly designed to promote participation by non-traditional sectors.

1. Information dissemination

a. Staff activity

Among the steps taken to reach the broadest possible audience, two practices seem especially important -- staff contact and dissemination of materials. Either in person or through the mails NEH staff members attempt to provide general information about the Endowment and to respond to potential or actual applicants. Hundreds of persons come to the agency to discuss their interests with staff; thousands inquire through letters; and large numbers of persons attend conferences and meetings around the country where NEH staff make presentations. During the course of these contacts staff describe the Endowment's activities; distribute material about programs, application procedures, review processes, priorities, and grant examples; counsel potential applicants; and respond to general questions, specific project ideas, preliminary proposals, and formal applications.

The National Council has urged that in these efforts staff give special attention to poorer or weaker institutions and to groups without experience in seeking foundation grants. The results of this practice, especially to sectors less familiar with the Endowment, can be seen in a letter sent by Johnny R. Hill, Director of the Office for Advancement of Public Negro Colleges which is attached for the record.

b. Dissemination

NEH mailing lists, selected and general, reach widely spread audiences who might share similar interests. These include hundreds of newspapers, radio stations, special interest groups, national and regional associations, government information centers, and over 30,000 other individuals and organizations which receive the Endowment's newsletter, program announcement and special news releases. Among these are 370 Black newspapers and media.

The NEH list is supplemented by use of other lists where appropriate. For example, an announcement about a project concerning Shintoism was recently distributed to the 3,000 members of the Japan Society; recent grants to the Recordings for the Blind (RFB) organization have been featured in releases sent by NEH to several thousand organizations and media, and NEH provided an additional 3,000 copies of the announcement

to RFB for distribution through its mailing list; and through the auspices of the Bureau of Indian Affairs the Endowment recently sent information about Indian-related grants to 300 native American groups.

## 2. Program activity

Many NEH programs are specifically designed to encourage the participation of non-traditional sectors. A brief description of these and examples of their work are given below.

### a. State-based Programs

Groups of all kinds -- minority and ethnic, business and labor, educational and cultural, etc. -- are both represented on State-based committees and supported through regrants from the individual state programs. Through both management and program activity State-based operations reach remarkably diverse groups of the citizenry.

-- For example, the Alabama state-based committee includes (of 22 members): -- a rabbi, a judge, a newspaper editor, the president of a business, a member of the state labor council and a university president who is presently on leave from the committee to serve as Secretary of Health, Education and Welfare of the United States.

-- The New Mexico committee includes (of 22 members): -- a woman rancher, an editor, a banker, a bishop, an attorney, a state legislator, the president of the University of New Mexico, and the executive secretary of the state AFL-CIO.

-- The Hawaii committee includes (of 18 members): -- the superintendent of Catholic schools for the state, a rancher, a labor attorney, the president of the Dillingham Corporation, the editor of the Honolulu Star-Bulletin, and the state archivist.

-- Among the non-traditional groups receiving funds for local projects through various State-based programs are:

- International Longshoreman & Warehouseman's Union (Hawaii)
- Ypiktak Bista (Eskimo organization -- Alaska)
- Montana United Indian Association
- Dodge County School Board (Georgia)
- Bristol Hospital Auxiliary (Connecticut)
- Comite de la Raza en Utah
- Sumter County YWCA (South Carolina)
- Anderson Urban League (Indiana)
- Central Labor Union, AFL-CIO (New Mexico)

b. Program Development

Each year the Public Programs Division tests ways of making the humanities increasingly available to the adult public and especially to groups not traditionally involved in the humanities. Thus, for example, grants have been made to the National Council on Aging to develop humanities programs for use in the many senior citizen centers around the country and to the League of Women Voters to prepare materials on the principles of the American government for use by community groups.

c. Fellowships and Stipends for the Professions.

The purpose of this program is to give practitioners in the non-education professions an opportunity to stand back from their work to study the historical, social, ethical, and philosophical dimensions of their professional interests. A variety of special study programs are now funded each year involving persons engaged in such vocations as journalism, law, medicine, public administration and school administration.

d. Youthgrants in the Humanities.

This program was specifically created to stimulate interest among young people in carrying out humanistic work. Individuals, groups of young persons, and organizations are all eligible to apply; a wide variety of film, local history, museums, research, and educational projects have been supported; and priority is given to applications from persons not normally participating in the humanities. Groups funded thus far include a 4-H club group in southern Nevada which research their community's history, the Better Boys Foundation of Chicago for a project involving inner-city teen-agers in researching the Underground Railroad, a "history of juvenile justice" project in Massachusetts employing young persons who had themselves been juvenile offenders, and a drug-prevention group in Colorado for a project involving young Mexican-Americans in exploring their history and culture.

e. American Issues Forum (AIF).

In launching the AIF, the Endowment took special steps to involve racial and ethnic minority as well as local community organizations. Material about AIF, including the AIF Calendar issues, was mailed to thousands of organizations outside of the educational-cultural sectors.

Through both solicited and unsolicited applications, grants were made to such groups as the NAACP, Urban League, National Grange, National Center for Urban Ethnic Affairs, Women in Community Service (an umbrella organization including National Council of Jewish Women, National Council of Negro Women, Church Women United, and National Council of Catholic Women) to prepare material on AIF issues for distribution to their members. In addition the Endowment aided the Adult Education Association in running 2,200 AIF workshops which involved 25,000 community leaders who could stimulate organized discussion groups among their membership or in their locality.

Large grants were also made to broad-based groups in several major cities (San Francisco, Chicago, San Antonio) for regranting to projects designed by local groups to engage the public in reflection and discussion of the AIF issues.

f. Bicentennial Youth Debates (BYD).

A major component of the BYD success in attracting over 140,000 young persons into a serious research-and-debate program during 1975-76 was the participation of prominent Americans and of national and community organizations not normally engaged in the support of the humanities. Attached is a list of the BYD National Advisory Council, Council for Development and Community Involvement, and contributors to BYD educational awards.

NATIONAL ASSOCIATION  
OF STATE UNIVERSITIES  
& LAND-GRANT COLLEGES



OFFICE FOR ADVANCEMENT OF PUBLIC NEGRO COLLEGES

805 PEACHTREE STREET, N.E., ATLANTA, GEORGIA 30308 (404) 874-5073

March 15, 1976

Mr. Harold Cannon  
Director of Educational Programs  
The National Endowment for the Humanities  
806 15th Street N.W.  
Washington, D.C. 20506

Dear Mr. Cannon:

Please, permit me to convey my deep appreciation to you and the participating N.E.H. staff members of the various divisions of N.E.H. who served as resource persons for the historically black public college representatives. The information imparted was very insightful. In my opinion, the representatives now have a better understanding of the programmatic offerings, quality indices, and level of competition that prospective proposals will encounter. The reality based opinions and candid statements from N.E.H. staff members is deeply appreciated and helpful to those of us who are desirous of working constructively with the National Endowment for the Humanities.

One of the most gratifying developments that emerged during our visitation and dialogue with N.E.H. staff members was the fact that they are consciously aware of certain problems and shortcomings of the program. Although there are shortcomings, such developments were anticipated due to the relative newness of some of the programmatic areas that are part of the total program.

It is equally gratifying to know that N.E.H. is operating with a commitment toward fair play and equity regarding the diverse constituency of American higher education. I am convinced more than ever that N.E.H. is well on its way toward becoming an exemplary Federal agency regarding funding patterns and in terms of responding to the needs of institutions of higher education. As the director of a cooperating agency for historically black public colleges, I pledge my support and cooperation to you and the National Endowment for the Humanities regarding mutual goals and objectives that we are committed to, namely, the enhancement and promotion of the teaching of the humanities.

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In cooperation with the American Association of State  
Colleges and Universities



Again, thank you for the information provided and for providing the OAPNC task force an opportunity to converse with your program staff members. On behalf of the Presidents and Chancellors of the thirty-four institutions affiliated with OAPNC, I would like to say that we shall be forever grateful to you for the leadership and encouragement that you have exemplified during our efforts to work more integrally with the National Endowment.

Respectfully yours,

Johnny R. Hill  
Director, OAPNC

JRH:eh

# BICENTENNIAL YOUTH DEBATES

## National Advisory Council:

Joseph L. Block — Chairman, The National Merit Scholarship Corp.  
 William F. Buckley, Jr. — Editor, *National Review*  
 Walter Cronkite — CBS News Correspondent  
 Arthur J. Goldberg — Former Supreme Court Justice  
 Barry Goldwater — U.S. Senator, Arizona  
 Patricia Roberts Harris — Former Ambassador to Luxembourg  
 Barbara Jordan — U.S. Representative, Texas  
 George Meany — President, AFL-CIO  
 Francine I. Neff — Treasurer of the United States  
 Dean Rusk — Former Secretary of State

## National Forensic Leadership Council:

John E. Baird — President, Pi Kappa Delta  
 James Collie — President, Phi Rho Pi  
 Nicholas M. Cripe — President, Delta Sigma Rho-Tau Kappa Alpha  
 James F. Hawker — President, National Forensic League  
 Lucy M. Keele — Past Chairperson, Forensics Division, Speech Communication Association  
 Scott Nobles — President, American Forensic Association  
 Robert J. Prior — President, National Catholic Forensic League  
 James F. Weaver — Chairperson, Forensics Division, Speech Communication Association

## Council for Development and Community Involvement:

### CORPORATE LEADERS

Earle B. Barnes — President, Dow Chemical, U.S.A.  
 R. F. Bauer — Chairman of the Board, Global Marine Inc.  
 Mrs. James S. Copley — Chairman & Chief Executive Officer, The Copley Press Inc.  
 Louis C. Duncan — Senior Vice President, Household Finance Corporation  
 R. Heath Larry — Vice Chairman, United States Steel Corporation  
 William A. Marquard — President, American Standard, Inc.  
 Robert T. Power — Chairman of the Board, Nalco Chemical Company  
 James W. Shannon — President, P.V.O.-West, Inc.  
 Robert Stuart — Chairman of the Board, National Can Corporation  
 William Zimmerman — President, Monogram Industries

### YOUTH ORGANIZATIONS

H.A. Applegate — Executive Director, Distributive Education Clubs of America  
 Alden G. Barber — Chief Scout Executive, National Council, Boy Scouts of America  
 James R. Brickel — Brigadier General, Air Force Reserve Officers Training Corps

Robert A. Buchler, Jr. — Director of Youth Activities, Civitan International  
 Larry W. Johnson — Executive Director, Vocational Industrial Clubs of America  
 Richard Maxwell — President, Junior Achievement, Inc.  
 Cecily C. Selby — National Executive Director, Girl Scouts of the U.S.A.  
 Alpha Trivette — President, Future Farmers of America  
 Hester Turner — National Executive Director, Camp Fire Girls  
 E. Dean Vaughan — National Director, 4-H Clubs

#### EDUCATIONAL/PROFESSIONAL ORGANIZATIONS

Walter Davis — Director of Education, AFL-CIO  
 Russ Gibb — Youth and Education Director, ARBA  
 Cecil L. Gilliatt — President, National School Boards Association  
 James A. Harris — President, National Education Association  
 Roger W. Heyns — President, American Council on Education  
 Carol G. Kimmel — President, National Congress of Parents and Teachers  
 Robert H. McBride — President, National Association of State Boards of Education  
 Jack P. Nix — President, National Council of Chief State School Officers  
 Albert Shanker — President, American Federation of Teachers  
 Jean Tilford — President, National Council for the Social Studies  
 Robert Wedgeworth — Executive Director, American Library Association

#### SOCIAL/CIVIC ORGANIZATIONS

Ruth C. Clusen — President, League of Women Voters  
 David L. Hale — President, the United States Jaycees  
 Terrence J. McCann — Executive Director, Toastmasters International  
 T. R. Osborn — President, Kiwanis International

#### BYD Educational Awards

Hundreds of local organizations have supported the BYD awards program at the Local and District levels. Over 64 groups — corporations, foundations, labor organizations, Bicentennial commissions and civic groups — have contributed to the Educational Awards Fund for Sectional and Regional events. Major supporters of Sectional and Regional awards, donating \$5,000 or more, include:

AFL-CIO	Inland Steel - Ryerson Foundation
American Standard, Inc.	Martha Holden Jennings Foundation
Dow Chemical Company	Lear Siegler, Inc.
George Gund Foundation	Union Carbide Corporation
United States Steel Corporation	

#### Supporters of the BYD Educational Awards Fund

AB Dick Foundation	Maryland American Revolution Bicentennial Commission
Aetna Life & Casualty	Massachusetts Electric Company
Alabama Power Company	Massachusetts Mutual Life Insurance Co.
Albany International Corporation	Mayfield Dairies
Amtrol, Inc.	Michigan American Revolution Bicentennial Commission
Anderson Foundation	
Arthur Andersen & Co.	

Bank of Virginia  
 Beneke Corporation  
 Bonneville International  
 Bowaters Southern Paper Co.  
 Bristol Steel & Iron Works, Inc.  
 Central Savings Bank  
 Champion Spark Plug Company  
 Cities Service Foundation  
 Copley Press  
 Delaware American Revolution Bicentennial  
 Commission  
 Eli Lilly and Company  
 Envirotech  
 Emerson Electric Co.  
 First Bank and Trust Company  
 First National Bank of Birmingham  
 Georgia American Revolution Bicentennial  
 Commission  
 Gould, Inc.  
 Gregg-Graniteville Foundation  
 Humboldt Products Corporation  
 Idaho First National Bank  
 Indiana American Revolution Bicentennial  
 Commission  
 International Brotherhood of Painters and  
 Allied Trades  
 J. P. Yancey Foundation  
 Kennecott Copper Corporation  
 Liberty National Life Insurance Company  
 Marathon Oil Company

Monogram Foundation  
 Nalco Foundation  
 National Bank of Commerce  
 New Hampshire State Labor Council  
 Nevada Power Company  
 North Carolina Labor Council  
 Ohio American Revolution Bicentennial  
 Advisory Commission  
 Peterborough Savings Bank  
 Pittsburgh National Foundation  
 Rose's Stores, Inc.  
 Ryder Truck Lines, Inc.  
 Saunders Leasing, Inc.  
 Scottish Rite of New Jersey  
 Simpson Timber Company Foundation  
 South Carolina Labor Council  
 Stauffer Chemical Company  
 Strake Foundation  
 Sunstrand Corporation  
 Tennessee State Labor Council  
 The Westerly Sun  
 TRW  
 Utah Power and Light Company  
 Western Massachusetts Electric Company  
 West Virginia American Revolution  
 Bicentennial Commission  
 Weyerhaeuser Company  
 William D. Kirkland  
 Wisconsin Centrifugal  
 Maine American Revolution Bicentennial  
 Commission

In addition to Local, District and Sectional awards of varying amounts, the 48 National Winners received \$1,250 in U.S. Bicentennial Savings Bonds for their outstanding participation in the BYD program.

General Trends in Grant Applications

Question 3: I am particularly concerned about the participation of handicapped persons in the humanities. What provisions do you have in the application process to ensure that:

a) the benefits of each grant are or will be made accessible and usable to the handicapped?

b) handicapped persons get a fair opportunity to apply for NEH funds, and in instances where it is applicable, to help them carry out humanistic studies and projects?

Answer: NEH staff and the National Council share the Senator's concern for assuring access for the handicapped to the humanities. As an individual, the handicapped person is precluded from no NEH program; and, accordingly, no complaint has ever been raised about NEH practices by any person or group representing the handicapped. (This should not be surprising given the nature of the humanities: the humanities deal, basically, with knowledge and therefore are directed at the mind rather than the body. With some exceptions, noted below, physical infirmities do not serve as a barrier to participation in the humanities as they do, say, in the arts. One can be confined to a wheelchair or bed and still engage in research and study of the humanities, while creation or performance in the arts or attendance at an artistic performance usually requires physical dexterity.)

Information on the number of applicants who are handicapped or the number of grantees is not available. To gather such information would require asking each applicant to state whether or not he/she was handicapped and to identify the nature of the handicap. At the same time it should be noted that groups representing the handicapped have been increasing their interest in the humanities. The National Federation of the Blind, for example, has received grants to produce and distribute talking book discs on the topics included under the American Issues Forum. The Endowment has also recently made a gifts-and-matching offer to help the Federation duplicate its library holdings in order to enable it to provide more service to blind people. The same kind of interest has come from the National Council on the Aging which is seeking to develop humanities programs that come to the senior citizens who are much more prone to being incapacitated.

Many Endowment supported programs are particularly useful to the handicapped, i.e. media projects which use radio, television, newspapers to bring the humanities to them. In recent years the Endowment has initiated support for radio programs as a vehicle to reach the shut-ins; the costs for such programming are relatively low and can be directed at specific audiences. Television -- for which NEH has greatly increased funding during the past four years -- serves this same purpose; costs are, of course, greater but clearly the benefits of an Adams Chronicles to citizens unable to visit historical sites or Humanities Film Forum to persons unable to go to theaters is unmatched.

Newspapers pose a somewhat different challenge and at the same time different opportunity. Possibly excepting the blind, Americans everywhere read a newspaper and the idea of placing substantive and interesting humanities columns

offered an opportunity to reach a wide sector of people, handicapped and otherwise. Citizens, unable to get about, still receive newspapers. Thus the NEH Courses by Newspaper (CBN) project reaches many handicapped persons among the 20 million who have read CBN articles.

Where NEH programs are public, efforts are made to provide access to all Americans. For example, this year not only was there radio broadcast of the Jefferson Lecture (which provides an opportunity for a distinguished humanist to address the nation's political and cultural leadership in Washington) but also sign language was used simultaneous with the lecture in Washington to enable deaf persons to participate.

It may be noted that altho not directly aided by NEH, various local projects funded through NEH state-based programs, have served to raise public attention to the problems of the handicapped, e.g. in Indiana a grant of \$4,686 was made to the South Central Indiana Council for the Humanities for a project "Society and the Mentally Retarded"; while in Kentucky a grant of \$6,810 went to the United Cerebral Palsy of the Bluegrass to conduct a public humanities program on the subject "How can Public Agencies Better Serve Handicapped Children?".

And, finally, it may be mentioned that the Endowment itself has had a special program of hiring deaf students from Gallaudet College in Washington as part-time employees, as both a way of training these persons in office skills and to provide a much needed supplement to the NEH staff.

GENERAL TRENDS IN GRANT APPLICATIONS

Question 4: Let me refer, for the purposes of this question, to my earlier division between grants which provide direct benefits primarily to the academic community, and grants which provide benefits predominantly to the general public.

What percentage of your application for grants in each of the past three fiscal years were for grants designed to serve the academic community?

And what percentage were designed to service the general public?

What trends, if any, do you see in this relationship over the past three years, and what steps do you intend to pursue, if any, in encouraging public-oriented grants in the future?

Answer. The percentage distribution of applications submitted directly to NEH is shown below. Several points should be noted about these:

1. These figures exclude thousands of applications which are made by local groups to the NEH State-based programs. Because of the State-based mission all of these State-related applications have been for public-oriented projects. Thus, in the absence of State-based programs the percentages for "public-oriented" applications would be significantly higher.

2. Included in the "academic-oriented" category are applications for educational projects which have also served broader audiences (e.g., the Ourstory television series aimed at classrooms but also broadcast on PBS during prime evening time in order to be viewed by adults) and for projects which are designed to aid scholars developing new humanistic knowledge but which also benefit the public (e.g., applications which led to Dumas Malone's great biography of Thomas Jefferson; to the CEEA Editions of American Authors, which are producing paperback editions of the stories and novels of great American writers; and to other works written by humanists which have gained wide general readership and won Pulitzer prizes).

3. Between 70-80% of the "academic-oriented" applications are individual fellowship applications. Should these be excluded the "public-oriented" figures would be in the 40-70% range.

4. The trend as indicated below is in favor of the public-oriented figures both in terms of the actual number and percentage distribution.

Distribution of NEH Applications

	<u>FY 1974</u>	<u>FY 1975</u>	<u>FY 1976</u>
Public-oriented	10.1%	11.3%	12.9%
Academic-oriented	89.9%	88.7%	87.1%
	100.0%	100.0%	100.0%

Senator PELL. I would now like to focus a little bit on some of the particular grants that the endorsement has awarded under your direction.

My concern with these representative awards is not entirely related to the subject matter of each grant, although I have some worries in that area; principally, I would like to know how the decisions in each grant were made and if you believe each award makes the best possible investment at that time for the Endowment to carry out its mandate.

Obviously, in retrospect you might change your views in one or another. It is just a general pattern.

I notice, for instance, you gave Harvard \$35,000 to make a scholarly catalogue of 4,000 Byzantine seals.

I was wondering what impact you thought this proposal could have, how it would benefit other scholars and the public?

Dr. BERMAN. Oddly enough, although that sounds very esoteric, it is one that I do recall. It is not strictly speaking Harvard, Senator. It was an organization right here in Washington. That is the Byzantine collection in Georgetown that is led by former Ambassador William Tyler called Dumbarton Oaks.

Since there are not enormous but very considerable display spaces there, public exhibition, it does seem that although it appears to be an esoteric purpose, a certain public interest was served.

Senator PELL. I must say I would agree with you on that.

Yale University also was awarded \$50,000 in what the grant awards refers to as "Continuing Support" for a Doctor of Fine Arts program, which is described in your own grant announcement as the only doctoral-level program in the country to train scholar-intellectuals to be, among other things, drama critics.

Is this a continuing support for program expenses in this project; and, if so, how long do you anticipate supporting this?

Dr. BERMAN. I think this is already terminated, Senator.

Is that not about 2 or 3 years old?

Senator PELL. I think fiscal 1975 or 1974—yes, 1974.

Dr. BERMAN. That is terminated.

Senator PELL. Before we leave the Ivy League, I would like to ask one question relating to my own alma mater.

I notice you gave Princeton \$26,000 to complete a biographical dictionary of every student who attended the forerunner of that college, the College of New Jersey, between 1748 and 1968.

I was curious as to what reasons there were for that award and how that would benefit public community?

Dr. BERMAN. I am literally unfamiliar with that grant. It sounds terrific, but I just cannot pass on it right now.

Senator PELL. I was very struck by that.

Going back to Princeton for 1 second, how was that grant made?

Would you look it up? Was it made directly to the university, or through what channels?

Dr. BERMAN. Certainly.

[The information referred to and subsequently supplied follows:]

QUESTIONS OF SPECIFIC GRANT AWARDS TO SPECIFIC PROJECTSGeneral note

Attached are responses to questions raised by Senator Pell concerning six NEH projects.

While each response presents the reasons for Endowment support of that particular project, it may be noted here that each and every one of these projects went through the Endowment's rigorous "competitive review" process. As part of this process a large number of experts from outside NEH review applications both in terms of their intrinsic merit and their relative value vis-a-vis other proposed projects. The recommendations of these reviewers then go to the presidentially appointed, 26-member National Council on the Humanities, which is charged by law with making the final recommendations to the Chairman as to which applications should be funded, at what levels, and with what conditions.

Because of limited funds not all meritorious proposals can be supported. Indeed, each year reviewers find about twice as many applications to be worthy of NEH funding as are funded.

QUESTIONS OF SPECIFIC GRANT AWARDS TO SPECIFIC PROJECTS

1. Harvard University-Center for Byzantine Studies

In June 1975, the Endowment awarded a grant of \$35,325 to Harvard College to continue support for and expand the coverage of the Byzantine Seals cataloging effort based at the Center for Byzantine Studies at Dumbarton Oaks, Washington, D.C. Previous NEH funding had assisted the applicants in cataloging a large portion of the 13,000 seals in the Dumbarton Oaks collection. This grant was provided to enable the addition of 4,000 seals from the collection held by the Fogg Museum at Harvard so that a unified catalogue of 17,000 seals could be produced. NEH provided less than half of the total cost of the project.

These lead seals were used by a large number of Byzantine church and government officials and provide information on the individual, his office and the area in which he worked. The applicants asserted that, because much of the documentary material on Byzantium has been totally lost, these seals are a prime source of information for scholars interested in administrative, social and economic history. In addition, the seals are a major resource for linguistic and artistic studies of Byzantine society.

This application was evaluated according to the usual procedures of the Endowment's Division of Research Grants. Reviews were requested of six independent specialists, all of whom rated the project superior and of highest priority for future research in Byzantine and medieval studies. Reviewers pointed out that the Harvard/Dumbarton Oaks Collection of seals is the largest in the world, accounting for over 1/3 of known holdings. Reviewers believed there is a real need for a comprehensive annotated catalogue, describing and interpreting these rare research resources. The Division's

advisory panels, which judged all applications in that competition, agreed with the reviewers and recommended support for the project with top priority.

"How much of an impact do you anticipate this project will have on other scholars and the public?"

According to experts in the U.S. and overseas, the Dumbarton Oaks Collection is a unique resource for research in Byzantine studies and a catalogue is definitely needed to further our understanding of one of the great cultures of Western civilization. Reviewers stressed the importance of the seals as resources for information on the social history of the Byzantine Empire, and especially on the lives of individuals who worked at all levels of state and church operations. Furthermore, the project will finally make available to a range of scholars and students throughout the world a collection which will be the basis for new research on the social, institutional and intellectual history of the Middle Ages for decades to come.

QUESTIONS OF SPECIFIC GRANT AWARDS TO SPECIFIC PROJECTS2. Yale School of Drama - Doctor of Fine Arts Program

The Endowment's 1973 grant to the Yale School of Drama in support of its DFA program was intended as a terminal grant; \$50,000 was offered for each of three years subject to the condition that an equal amount of private funds be donated as gifts to be matched by federal funds. Yale's efforts to raise these funds have proven successful. The federal share of the costs of the program is largely concerned with the costs of faculty and staff salaries.

The program, now in its eighth year, was initially supported through a Rockefeller Foundation grant, general university appropriations, National Defense Fellowships, private contributions, and a previous NEH grant. Approximately six students a year are admitted to the three-year program which develops scholar-intellectuals to function as drama critics, literary managers for resident theater companies, drama editors, and teachers of dramatic literature and theater history. The program includes courses in Dramatic Criticism, Theater History, Dramatic Literature from the Greeks to the present, and English Literature as well as courses in such practical subjects as Directing, Acting, and Scene Design. Activities include attendance at dramatic productions and student workshops. Doctor of Fine Arts students are responsible for editing and writing the national theater magazine, yale/theater. In addition each candidate has the opportunity to serve as a literacy manager with the University's professional company and with other production groups at the School. Yale is presently conducting a capital fund drive and hopes that the program will be self-supporting at the conclusion of this three-year grant period.

This application was reviewed through the normal review procedures. The panel of independent experts who considered the proposal found it meritorious. The DFA program was judged unique, both in conception and in its excellence, and the value of a program that graduated some of the most important drama critics at newspapers throughout the nation was judged high. Reviewers were aware of several interesting policy questions

as they deliberated. First, while it is generally true that NEH does not offer continuing support for a program that has been launched, reviewers felt that an exception should be made in this case, since no other program in the country existed as a source of such high quality dramatic critics. Reviewers' qualms were alleviated by the knowledge that (1) this was to be a terminal grant and (2) the request of NEH was entirely in terms of gifts and matching funds.

The National Council on the Humanities accepted the reviewers' recommendation, and the grant was awarded.

The progress reports that NEH has received on this grant suggest that the reviewers' confidence has been borne out. Producing about six graduates per year, it is interesting to note that most of these accept positions as drama critics at newspapers away from the East Coast; that is, the program is not Broadway-oriented. Those few who have accepted positions in New York seem to occupy very important positions--remember that most of these graduates are young people, and the program itself is young.

Graduates have also been part of the beginnings of a new profession--that of "literary managers". A literary manager is a person trained in the humanities who is on the staff of a resident theatre company. He has responsibility for the selection of material to be performed and has key responsibility for the writing of audience notes and other interpretive materials that are distributed in connection with the performances. This is a growing field, and there is a shortage of well-qualified persons to occupy these positions. Again, the DFA program graduates seem to have taken the field by storm, holding a large number of these positions in major New York theatres and many theaters throughout the nation. The Endowment is especially pleased that through this program it has been possible to encourage greater cooperation between the performing arts and the humanities, in the many theaters that have added literary managers to their staff rosters.

There is a similar brand-new program in Iowa to train drama critics and literary managers, but it takes principally playwrights as its students. A recent issue of the Tulane Drama

Review, by the way, discusses the rising profession of literary managers and Yale's contribution to the growth of the field.

In short, the program is unique: There is no other doctoral program that trains art critics and literary managers. And there is no other program with a record of similar influence in the field of dramatic criticism. There are a few other programs in the country that award a DFA degree, but the substance of their curriculum is other subjects, such as music theory.

Let me add, too, that one of the reasons why the grant is so appealing to me is that it encourages cooperation between the performing arts and the humanities in the real world of theater, not only in the academic world. Well-trained drama critics and literary managers can only enhance the public's appreciation of theater.

QUESTIONS ON SPECIFIC GRANT AWARDS TO SPECIFIC PROJECTS

3. Princeton University Biographical Dictionary

The "Biographical Dictionary of Princeton Graduates: 1748-1768" has received two grants from the Research Materials program: the first award was for \$47,736 G&M, from 1/1/75 through 12/31/75; the grant was renewed at the November 1975 Council for \$39,232 G&M, to run from 1/1/76 through 12/31/76.

Both decisions were reached through our customary process of specialist review, panel evaluation, Council sub-committee discussion, and Council Action.

This dictionary was felt by specialist reviewers to fill an important gap in American intellectual history and to complement similar biographical dictionaries for Harvard and Yale, which scholars in a variety of fields have found extremely valuable. The addition of the materials from Princeton, with its even wider geographical distribution of students, was thought to enlarge significantly the amount of information available for study of the American experience during an important period in the development of the Colonies as a nation. When completed, the Princeton Dictionary (with the Harvard and Yale volumes) will make available to scholars biographical essays on almost all American college graduates in the Colonial period and thus constitute a finished research tool. In the opinion of the reviewers and panelists, the biographies contained in the Princeton Dictionary would be of considerable interest and use not only to historians of early America, but also to sociologists, to historians of higher education, to students and scholars interested in the history of the legal, clerical, and medical professions; it will also provide a major source of data for the rapidly growing schools of quantitative and demographic historians.

QUESTIONS OF SPECIFIC GRANT AWARDS TO SPECIFIC PROJECTS.4. Youthgrant project on South Uist work songsGeneral note about Youthgrants

The Youthgrants Program is designed to stimulate the interest of young people in the humanities and to support projects by young people which appear likely to make a genuine contribution to the humanities but which are unlikely to receive support in the extremely stiff competitions of other NEH programs in which established professionals compete. The Youthgrants Program is directed primarily toward young people of high school and college age. Accordingly the National Council and agency staff have worked to make selection criteria for this program reasonable and fair for this age group and thorough enough to insure funding only those projects of real promise.

Review procedures for Youthgrants applications are similar to that of many of the Endowment's programs in that applications are first evaluated by a "peer group" panel. The Youthgrants panel is composed of young people with experience in a number of fields and subject areas and similar in age and background to the applicants. Great care is taken to insure that the panel includes young people from widely-spread geographic areas and varied ethnic and minority backgrounds. Their recommendations are then reviewed by a staff review committee composed of members of each division of the Endowment (who advise the program staff of any potential problems of a policy nature) and then by the National Council, which makes the final recommendations for action on them. Often, for projects promising to make a worthy contribution to a scholarly field, the agency submits the applications to academic specialists in that area who can advise as to the merits of the projects' substance and methodology.

The actual selection of an applicant for funding is based on the intrinsic merits of the project proposed and the applicant's apparent ability to carry it out. Therefore, a project is judged according to the significance of the topic and the importance of the planned results, the soundness of the plan of work and the proposed budget, and the appropriateness of the planned dissemination for the number of people the project is intended to benefit. The previous training and experience of applicants is considered in order to determine if they appear able to carry out the project, but their formal academic records may enter in only in the sense that one or more of the three references from whom applicants are required to submit letters may refer to their past accomplishments. Throughout this competition, young people are ranked with their peers, and therefore a high school sophomore is not judged by the same standard as a senior in college.

For further information about the Youthgrants program and the specific review criteria, see attached brochure.

Grant concerning "South Uist" work songs.

The Youthgrant award to study the effects of rapid social change upon work songs on the Island of South Uist in the Scottish Hebrides was given to enable the 21-year old applicant opportunity to study in-depth the folk music of a small rural community in the Scottish Hebrides. In particular, her project

was concerned with the effect rapidly-encroaching technology (which was eliminating much of the type of the work about which the islanders sang) was having on what had once been an important form of social communication. The grant also enabled the project director to tape-record and document a number of these songs to preserve them as a part of man's international folklore heritage.

The Youthgrants panelists and reviewers felt this project was significant both because of the intrinsic interest of the music it would preserve, and because of the contribution it could make to our understanding of the influence of a larger society on a small rural community and the role of music in the life of a community. Reviewers and panelists also felt this was a good example of the type of project likely to provide a rewarding educational experience for the project director and to stimulate her interest in further humanistic work.

The project was designed to result in a number of tapes of the music with annotation to be deposited at a university or folklore society and a paper which would be of interest to ethnomusicologists and therefore could be presented through professional journals or meetings. The project director was also interested in conducting music and folklore workshops in high schools and grammar schools using her experience on South Uist as a basis.

Since the final results of this project are not yet in, it is difficult to tell if its potential will be fully realized, but at last report it seems to have been progressing well and the project director benefitting greatly from the experience.

QUESTIONS ON SPECIFIC GRANT AWARDS TO SPECIFIC PROJECTS5. Joint Family Structure in 14th and 16th-Century Serbia<sup>1</sup>

The project is scheduled to end June 30, 1977, when a lengthy monograph will be available, to be followed the next year by a book. The project director is Professor E.A. Hammel, an anthropologist at the University of California, Berkeley. NEH offered support of \$17,995, of which about \$9,000 has been paid out, for computer analysis of census data to reveal the pattern of family change. The University of California contributes in cost-sharing another \$9,594, and has supported the project on its own funds since its beginning in 1969.

NEH funds pay for a computer specialist and use of the computer at the Atomic Energy Commission's Lawrence Berkeley Laboratory. Professor Hammel has developed a special computer manual for processing his historical data in order to pinpoint the relationships among the economic, demographic, social, and political factors shaping family structure. This approach is said to be an innovation in studying European family structure that is useful to anthropologists, historians, demographers, economists, and others. His study is expected to have implications for understanding American family structure and provide a basis for comparing the family structures of immigrants. The extended family structure he is studying, common in India and Asian societies, is now a rare phenomenon in European cultures despite its common occurrence in the Balkan countries, especially Serbia.

The application received unanimous support from eleven scholars, as well as the National Council; five expert scholars recommended it because of its importance in understanding the south-eastern European family, the history of the family and human social adaptation. Another panel of six scholars found it "to be an impressive project which will bring to completion an important and pioneering work. Family structure is a subject of great interest ... Hammel's work on family change in relation to economic, political, and demographic conditions has developed an important form of historical research."

QUESTIONS OF SPECIFIC GRANT AWARDS TO SPECIFIC PROJECTS6. Institute of Fine Arts:

Sometime in 1972 the Institute of Fine Arts (IFA) launched an endowment drive to raise \$15 million in two stages. The goal of stage one was \$10 million. The income from this endowment was intended to meet the essential costs of instruction and operations: faculty and staff salaries, plant operations, library and administrative costs. The goal of the second stage was an additional \$5 million, the income of which it was hoped would ensure the financial future of the Institute in view of its existing budget difficulties and the forecast of rising costs for all areas of higher education.

The IFA approached NEH's Research Division for support. In February 1973, the National Council approved a grant (EH-9513-74-24) of \$200,000 outright and \$100,000 gifts and matching. This award was made to sustain the IFA's core operations, thereby permitting it "to concentrate on raising endowment needed for survival and excellence in the future". The application had received high recommendations for funding by sixteen outside reviewers who concluded that an exception to the NEH policy against general support was justified for the Institute as it constituted a unique and essential center in the United States for training teachers and scholars in art history.

After the Council's positive decision the grant was transferred to the Division of Education programs for administrative purposes.

The original application had requested two years of emergency support. Council members, in approving the proposal, followed a staff recommendation that the decision regarding the second year request be based on a full report of the first year's experiences.

On October 9, 1973 in a letter to Dr. Berman, the Director of the IFA, Craig Smythe, reported that in the previous six months \$2,925,000 had been given or pledged to the IFA, bringing to \$5,675,000 the total amount given or pledged since their endowment campaign began. (The Institute's goal was to raise \$10,000,000 in new endowment by the end of 1973.)

This letter in effect served as the formal application for the second grant (ED-10857-74-130), which was approved by the Council in November 1973. The amount of the second award was identical to that of the first: \$200,000 outright and \$100,000 gifts and matching. The grant was made "for the purpose of reducing or eliminating the deficit for the fiscal year ending August 31, 1974 in the core budget...". The period of this second grant was September 1, 1973 through December 31, 1974.

At a press conference in New York on November 7, 1973, Dr Berman announced the award of the grants to the Institute of Fine Arts. These grants were "designed to allow for the accumulation of gifts and thus to guarantee the Institute fiscal stability in the future". Dr. Berman remarked that "the Humanities Endowment's decision to offer such support reflects not only our

concern that the Institute should continue to flourish in scholarship and teaching but the opinion of many experts that the Institute is very nearly unique in its field and that the Endowment and all interested parties should make every reasonable effort to support it to the fullest extent possible". At the same time it was made clear to the Institute that the NEH grants could not be renewed.

Stimulated by the NEH offer, donors not only contributed the necessary \$200,000 to meet the Federal challenge, but also raised an additional \$2 million for the Institute's general endowment fund. This permitted the Institute to project a balanced budget for FY 1974-75.

Note: The general NEH policy against providing operating support has continued, but with occasional exceptions when the National Council has felt that unique national resources were endangered, e.g. the New York Public Library's research collections, which have been aided through NEH challenge grants.

The "Challenge Grant" title recently added to the NFAH Act recognizes both the successful NEH experience and the increasing needs of humanities organization. If funds are made available for the new title, there is no doubt that the National Council would recommend increased challenge offers to aid those institutions which provide important national and regional services and whose operations are threatened by rising costs and operating deficits.

Senator PELL. Thank you.

Now I come to a very small grant, but one that fascinated me in going through the selection, where you had a grant representing a very small amount of money. I like these small grants. This is \$1,800. This was a youth grant to get a study of the effects of "Rapid Social Change Upon Work Songs on the Island of South Uist in the Scottish Hebrides."

I was wondering how a grant like that is made. Walk me through it.

How many people applied for it and tell me how you decide to award it.

Dr. BERMAN. The program within which this application was registered, our youth grants in the Humanities, is designed especially so that young people can find their own level of competition.

These people will range from very young, indeed, sometimes around 16, and I think maybe ones even younger than that, to people in their late 20's.

They know this is a place to apply to bring projects for support that will allow them some relief from the competition of independent fellowships and other more difficult programs serving established scholars.

Generally, a panel is assembled of people, as expert as possible, in the subject raised by the application. In this case, Youth grants, there will always be young people on that panel who were making the best endeavor they can to judge the expenditure and use of these funds. I have attended these panels.

I tend to think they are the toughest and some of the best in the Endowment. I have been more impressed by 19- and 20-year-old men and women judging these grants than, frankly, by many of their superiors.

They put a tremendous amount of spirit into this, a tremendous amount of inquiry and a lot of good sense. When the matter goes beyond this committee, it is then reviewed by the National Council on the Humanities. The National Council on the Humanities is aware that it is very hard to consider the interest of someone who is 18 years old, someone who is arguing for a grant of \$1,100 or of \$2,300.

So the National Council takes these applications very much as they find them. If this young man or woman is interested in seriously studying the Hebrides Island, we tend to feel that does him some good; and we certainly hope it will do the history and scholarship some good some day.

Senator PELL. Another study which I found quite interesting was \$17,000 for the study of the so-called joint family structure of the 14th, 16th, and 18th century Serbia.

What would be the relationship of that to the academic community here?

Dr. BERMAN. I am not familiar with that grant. Could you tell me where it was done and if there is more information on that?

Senator PELL. The University of California, Professor Hammel, Department of Anthropology:

The Endowment's grant will support a study of the Classic Joint-Family of Serbia, which has been a focal point of discussion in history and the social sciences.

Tax lists will be used in making a careful comparative examination of household structures of the 14th, 16th and 18th centuries.

It does not make much sense to me.

Dr. BERMAN. I would have to look at it. It seems to me the anthropologists are up to their usual business there, and they are sometimes liable to claim greater social utility than you or I might see in that.

Senator PELL. In 1973, the Endowment made a \$200,000 grant to the Institute of Fine Arts at New York University "for the purpose of reducing or eliminating their deficit for the fiscal year ending in August 1973."

What is your policy now toward subsidy of operating costs? Is such support widespread?

Dr. BERMAN. That, Senator, is a grant I am familiar with. It was undertaken only after a lot of deliberation and indeed a certain amount of debate within the top management and budget staffs.

The Endowment has found itself limited, sometimes constrained, by administration policy. That policy is that subsidies, general support, and deficit shall not be given, but that, instead, support given by Endowment shall be confined to applications and grants for projects.

We expect exceptional cases like the Institute of Fine Arts, like certain museums and libraries, and especially like New York Public Library to make themselves felt. There are some institutions which, by virtue of the very work they do, by virtue of their very existence, by virtue of even being open are, as it were, providing great value to the humanities.

It is my private view that a library being open is doing something in the humanities and ought to be supported.

We are trying to restrict our support to cases that are absolutely gilt edged, and I think we came up with some at New York Public Library, and IFA.

We know we did because, after all, OMB agreed with us. While they are far from being the ultimate source of judgment on anything, at least financially on this matter they agreed that these places were so good, they served so many people, their resources were so unique, that the Endowment should give these very, very rare general support grants.

Senator PELL. To return for a moment to the senior fellowship grants, I notice that the maximum senior fellowship grant is \$18,000.

I was curious as to why you picked that.

Dr. BERMAN. That figure is fairly flexible because it has been going up each year. We have tried to tie this to the amount of money available from universities to the salary scale and, of course, to the inflation.

Now, when I began, we were giving out senior fellowships for the year \$15,000 or prorated each month on that basis.

We are now at the point where we are trying to give out somewhere between \$15,000 and \$20,000 to most applicants, although this does not result in an actual outright cash gift. We only give the people money that is needed or costs that were, as it were, left over from ordinary university support as in sabbaticals.

I think it is sometimes a matter of financial loss to have a man with a family live on a sum in the vicinity of from \$15,000 to \$18,000 a year, so that we have to raise our allotments in order to keep time with inflation and to approach a living wage.

Senator PELL. The reason I would raise this question is, I notice that the Arts grants for distinguished artists are \$10,000 maximum; Humanities maximum is \$18,000.

I was wondering the reason for this discrepancy in your view.

Dr. BERMAN. The maximum, sir, is in order to accord with an ordinary 9-month academic-year salary payment. This is not true of most of our fellowships. Some stipends, for example, will give between \$1,000 and \$2,000 per month, and some seminars will have another form of payment. Each activity within our fellowships division will have a different stipend in order to match the time on which it is spent and the expense involved.

But individual fellowships are judged not only by criteria I mentioned, but by resemblance to, for example, the Guggenheim or Rockefeller Foundations. I might point out that the Rockefeller Foundation fellowships are \$25,000 per year.

The CHAIRMAN. Dr. Berman, I do not know whether this is a painful procedure or not. I would guess not. This is the sort of thing that our committee would like to be doing more of in many program areas.

We have an oversight responsibility, and our limitations are that we just really have full time to do the comprehensive oversight on programs authorized from this committee, as well as reauthorizing, and continuing, and bringing on new programs.

This has been set in a classical overview of program activity of the Endowment. I will say that we are going to, I would judge, at some point, and I am not sure when, be under an absolute mandate to do this sort of thing when the "sunset" bill becomes law.

Senator PELL. Which we should both be at discussion of right now.

The CHAIRMAN. We are both on the committee that has that "sunset" bill before us. I left a proxy and came over here.

That is an idea whose time will come. Some say it is now and some say perhaps next year.

I am just told that the "sunset" bill has been reported. It is on its way to a destination or conclusion unknown at this time.

But this is not a painful business, is it?

Dr. BERMAN. No; I think it is to the advantage of everybody.

The CHAIRMAN. I think it is very, very useful. I am glad that while the nomination brought us to this, it seems to me as though we are well served with this kind of review as something as important as the Endowment for the Humanities.

I applaud both of you for the searching way that you are illuminating the activities of the Endowment.

Dr. BERMAN. Thank you.

The CHAIRMAN. I have to go to the floor. I will yield to you.

Senator PELL. I will carry on until there is a vote.

Thank you very much, Mr. Chairman.

I was wondering if you have a feel for this or if you want to submit it for the record, or do both.

How many senior fellowships, these more prestigious fellowships, go to individuals to well-endowed institutions?

By well-endowed, I mean institutions with endowments in excess of \$125 million, and in this regard I would like a listing for the record of the total number.

Dr. BERMAN. We would be happy to provide the total listings. I am not sure, Senator, whether the endowment itself is the criterion which would satisfy you since so many universities annually exceed that amount in their operating expenses.

For example, a public university like State University of New York or its counterpart, the California System, is over half a billion dollars a year. They have no endowment, and yet they have half a billion dollars a year.

If we are talking about lots and lots of money, a good deal of this is in the public sector, and we ought to recognize that.

Senator PELL. Right.

I am still interested in the specific question of those private universities which have the prestige, and if you would give us those figures for the record.

And also if you would break those down by States where those awards have gone.

In that connection, in my analysis of it, I notice that very few awards have gone to Southern States, these senior fellowship awards.

Is there any reason for that?

Dr. BERMAN. Well, I think we can only respond to the applications. And if we get a lot of applications from the South, my estimate would be that a lot of them would be favorably treated.

Senator PELL. You will be submitting for the record in any case the number of applications. We can find that out because we will have the correlation here.

[The information referred to and subsequently supplied follows:]

National Endowment for the Humanities

Division of Fellowships

FY 1975 Awards

<u>Institution</u>	<u>Program</u>			<u>Summer Seminar Participants</u>
	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	
<b>REGION I</b>				
<u>Connecticut</u>				
Univ. of Bridgeport				2
Central Conn. St. Coll.				3
Univ. of Conn.-Stamford				1
Univ. of Conn.-Storrs			1	
Eastern Conn. St. Coll.			1	
Fairfield Univ.				1
Greater Hartford Comm. Coll.				1
Housatonic Comm. Coll.				1
Mohegan Comm. Coll.				1
Univ. of New Haven				1
Post Jr. Coll.				1
Quinnipiac Coll.				1
Southern Conn. St. Coll.			1	
Wesleyan Univ.	3	1	1	
Western Conn. St. Coll.				1
*Yale Univ.	6			
<u>Maine</u>				
Bates Coll.		1		
Colby Coll.		2		
Univ. of Maine-Portland-Gorham			1	
Univ. of Maine-Presque Isle				2
Maine Maritime Academy				1

\* Indicates institutions with Endowment of \$125 million.

	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>Maine (cont.)</u>				
Nasson Coll.		2		1
Portland School of Art				1
St. Francis Coll.				
<u>Massachusetts</u>				
Anna Maria Coll.				1
Assumption Coll.				2
Bentley Coll.		1	1	1
Boston Coll.				
Boston Globe	1			
Boston St. Coll.				1
Boston Univ.	1			
Bradford Coll.			1	
Brandeis Univ.	1		1	
Emerson Coll.		1		
Emmanuel Coll.				1
*Harvard Univ.	6		3	
Holy Cross Coll.			1	1
Lowell St. Coll.				2
Univ. of Mass.-Amherst	1			
Univ. of Mass.-Boston	2		1	1
*Mass. Inst. of Technology			2	
Merrimack Coll.				
Mt. Holyoke Coll.	1		1	1
Newton Coll.				
Regis Coll.				3
Smith Coll.			2	
Tufts Univ.			1	
Wheaton Coll.		1		3
Williams Coll.		1		
Worcester Coll.		1		

	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>New Hampshire</u>				
Keene St. Coll.				1
N.H. Vocational-Technical Coll.				1
Plymouth St. Coll.				2
St. Anselm's Coll.	1			1
Unaffiliated				
<u>Rhode Island</u>				
Brown Univ.	2		1	1
R.I. Coll.				
R.I. School of Design		2	1	1
Univ. of R.I.				
<u>Vermont</u>				
Green Mountain Coll.				1
Johnson St. Coll.				1
Middlebury Coll.				1
St. Michael's Coll.				3
Univ. of Vt.			1	

	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>New Jersey</u>				
County College of Morris				1
Drew University				3
Fairleigh Dickinson Univ.				1
Georgian Court College				1
Jersey City State College				3
Kean College of New Jersey			1	1
Montclair State College			1	2
Ocean County College				1
* Princeton University	9		3	1
Ramapo College of New Jersey				1
Rutgers Univ. - Camden			1	1
Rutgers Univ. - New Brunswick	3		1	1
Rutgers Univ. - Newark			1	3
Trenton State College			1	1
Union County Technical Institute				1
Upsala College		1	1	
Westminster Choir College				
<u>New York</u>				
Alfred University				2
Auburn Community Coll.				1
Bard College			1	
Canisius College		1		1
City University of New York:				
Baruch College			2	1
Borough of Manhattan Comm. Coll.			1	
Brooklyn College			1	
City College	1			
Lehman College			2	2
Queens College		1	2	1
Richmond College			1	

<u>New York (cont.)</u>	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
Clarkson Coll. of Technology				2
Colgate University			1	2
*Columbia University	7		2	
Cooper Union			1	
*Cornell University	4		1	
Corning Community College		1		
Eisenhower College		1		
Fordham University	1			
Hamilton College	1			
Hobart and Wm. Smith College				2
Iona College				1
Kirkland College		1		
Le Moyne College		1		
Long Island Univ. Brooklyn Ctr.		1		
Marist College				2
Marymount College				2
New York University	3			
*University of Rochester	1		1	
Rosary Hill College				1
Russell Sage College				1
St. Bonaventure Univ.				1
St. Lawrence University		1		1
Sarah Lawrence College			1	
Siena College	2			1
Skidmore College		1		1
State University of New York:				
Univ. at Albany			2	
Univ. at Binghamton			1	
College at Brockport		4		1
Univ. at Buffalo			1	
Coll. at Buffalo			1	

<u>New York (cont.)</u>	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
State Univ. of New York (cont.):				
Agric. and Tech. Coll. at Cobleskill		1		1
Coll. at Fredonia		1		3
Coll. at Geneseo			1	1
Coll. at Old Westbury				1
Coll. at Oneonta				1
Coll. at Oswego				1
Coll. at Potsdam				1
Coll. at Purchase			1	1
Queensborough Comm. Coll.				1
Univ. at Stony Brook	1			
Syracuse University	1		1	1
Ulster County Comm. Coll.				
Union College		1		
Vassar College			1	
Viking Press	1			
Wagner College			1	
Wells College			1	
Coll. of White Plains			1	
Yeshiva College				1
Yeshiva University	1			
<u>Puerto Rico</u>				
Inter American University				2
Puerto Rico, Univ. of		1		1

<u>Institution</u>	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>REGION III</u>				
<u>Delaware</u>				
University of Delaware Wilmington College	1		1	1
<u>Maryland</u>				
Anne Arundel Comm. Coll. Bowie State College Catonsville Comm. Coll. Frostburg State College Goucher College		1	1	2 1 1 2 1
* Johns Hopkins University Univ. of Md.-Baltimore County Univ. of Md.-College Park Montgomery College Mt. St. Mary's College	1	2	2	2 3
Prince George's Comm. Coll. St. John's College St. Mary's College Towson State College Western Maryland College		1	1	1 5
Unaffiliated			1	
<u>Pennsylvania</u>				
Albright College Comm. Coll. of Allegheny County Allegheny College Beaver College		1		3 1 1

<u>Pennsylvania (continued)</u>	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
Bryn Mawr College	1		1	
Bucknell University	1			1
Bucks County Comm. Coll.				1
California State College				2
Carlow College				
Cedar Crest College		1	1	3
Dickinson College				1
Drexel University				1
East Stroudsburg State Coll.				1
Eastern College				1
Edinboro State College		1		1
Franklin & Marshall College	1		1	1
Gettysburg College				1
Grove City College			1	1
Haverford College			1	
Indiana Univ. of Pennsylvania				1
Juniata College				1
King's College				1
La Roche College				1
La Salle College			2	1
Lafayette College				1
Lebanon Valley College		1		1
Lehigh County Comm. Coll.				1
Lincoln University				1
Lock Haven State College				1
Mercyhurst College				1
Messiah College				1
Millersville State College		1		1
College of Misericordia				1
Muhlenberg College				1

<u>Pennsylvania</u> (continued)	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
*Univ. of Pennsylvania	7		2	1
Penn. State Univ.-Media				1
Penn. State Univ.-New Kensington			1	
Penn. State Univ.-University Park				1
Philadelphia Coll. of Textiles & Science				
Univ. of Pittsburgh	2		1	1
Point Park College				
St. Joseph's College			1	
Univ. of Scranton			1	2
Seton Hill College				1
Shippensburg State Coll.			1	4
Swarthmore College			2	
Temple University	2		1	1
Ursinus College		1		3
Villanova University				
Waynesburg College				1
West Chester State Coll.			1	1
Westminster College		1		1
Wilkes College				1
Williamsport Area Comm. Coll.		1		
York College of Pennsylvania				1
<u>Washington, D.C.</u>				
American University	1			
George Washington Univ.	1			
Howard University	1	2		1
Trinity College			1	
<u>West Virginia</u>				
Appalachian Bible Inst.				1

<u>West Virginia (cont.)</u>	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
Bluefield State College				1
Davis & Elkins College				2
Fairmont State College				1
Glenville State College				1
Marshall University				2
Morris Harvey College		1		1
Salem College				1
West Liberty State Coll.				1
West Va. Wesleyan College				1
West Va. University				1
Wheeling College				1
<u>Virginia</u>				
Christopher Newport College				1
Emory & Henry College				1
George Mason University			1	1
Germana Comm. Coll.				2
Hampden-Sydney College		3		1
Hampton Institute				1
Hollins College				1
Longwood College			1	1
Madison College		1		1
Mary Washington College				1
Northern Virginia Comm. Coll.				2
Randolph-Macon College				3
University of Richmond				1
Roanoke College				2
Shenandoah College				1
Sweet Briar College		1		1

<u>Virginia (continued)</u>	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
University of Virginia	2			1
Va. Commonwealth Univ.				1
Va. Highlands Comm. Coll.				1
Va. Polytechnic Institute				1
Va. Wesleyan College				
Washington & Lee University				4
Coll. of William & Mary				1
Inst. of Early American History & Culture-Williamsburg	1			3

	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>REGION IV</u>				
<u>Alabama</u>				
Univ. of Ala.-Birmingham				1
Univ. of Ala.-Huntsville				1
Auburn Univ.				1
Birmingham-Southern College				2
Livingston Univ.				
Univ. of Montevallo		1		1
Univ. of North Ala.				1
Selma Univ.				1
Univ. of South Ala.				1
Spring Hill College				2
<u>Florida</u>				
Brevard Comm. Coll.				1
Eckerd Coll.				1
Flagler Coll.				1
Univ. of Fla.			2	
Fla. State Univ.				1
Fla. International Univ.				1
Fla. Technological Univ.				2
Polk Comm. Coll.				1
Saint Leo Coll.				1
Univ. of South Fla.		1	1	1
Tallahassee Comm. Coll.				1
Univ. of Tampa				2
Valencia Comm. Coll.		1		
Univ. of West Fla.				2

REGION IV (Continued)	Independent Fellowships	Residential Fellowships	Summer Stipends	Summer Seminar Participants
<u>Georgia</u>				
Abraham Baldwin Agricultural Coll.		1		
Agnes Scott Coll.				2
Columbus Coll.				2
Emanuel County Junior Coll.			1	1
Univ. of Ga.				
Ga. Institute of Technology				1
Ga. Southern Coll.	1	1		1
Ga. State Univ.				1
Savannah State Coll.				3
Shorter College				1
Valdosta State College				2
West Ga. Coll.				1
<u>Kentucky</u>				
Berea Coll.				3
Brescia Coll.				2
Centre College of Ky.				1
Eastern Ky. Univ.			1	1
Georgetown Coll.				1
Univ. of Ky.				
Ky. Wesleyan Coll.		1		1
Morehead St. Univ.				1
Murray St. Univ.				1
Southeast Comm. Coll.		1		
Thomas More Coll.				1
Pennsylvania Univ.	1			1
Western Ky. Univ.				1

REGION IV (Continued)	Independent Fellowships	Residential Fellowships	Summer Stipends	Summer Seminar Participants
<u>Mississippi</u>				
Alcorn State Univ.		1		1
Blue Mountain Coll.				1
Delta St. Coll.		1		1
Millsaps Coll.				1
Univ. of Miss.				2
Miss. St. Univ.			1	
Univ. of Southern Miss.				
<u>North Carolina</u>				
Appalachian St. Univ.			1	1
Belmont Abbey Coll.			1	3
Catawba Coll.			1	
Duke Univ.	1			
East Carolina Univ.				1
Fayetteville St. Univ.				1
Guilford Coll.				4
High Point College				1
Johnson C. Smith Univ.				3
Lewis Rhyne College				2
Livingstone Coll.				2
Mars Hill Coll.				2
Univ. of North Carolina-Asheville				1
Univ. of North Carolina-Chapel Hill	3		3	
Univ. of North Carolina-Charlotte				2
Univ. of North Carolina-Greensboro	1			
North Carolina Central Univ.	1			

<u>REGION IV</u> (Continued)	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>North Carolina (Continued)</u>				
North Carolina St. Univ.	1		2	1
Peace Coll.				1
Queens Coll.				2
St. Andrews Presbyterian Coll.				3
St. Augustine's Coll.				1
Western Carolina Univ.			1	1
Winston-Salem St. Univ.				1
North Carolina Museum of Art	1			
<u>South Carolina</u>				
Benedict College				1
Central Wesleyan Coll.				1
The College of Charleston				4
Clemson Univ.				2
Erskine Coll.		1		1
Furman Univ.				1
Lander Coll.				1
Newberry Coll.				1
Univ. of South Carolina-Beaufort				1
Winthrop College				2

<u>REGION IV</u> (Continued)	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>Tennessee</u>				
Austin Peay State Univ.				2
Belmont Coll.				1
East Tenn. St. Univ.				2
Fisk Univ.				1
Knoxville Coll.				1
Martin Coll.		1		1
Maryville Coll.			2	2
Memphis State Univ.				1
Milligan Coll.				1
Motlow State Comm. Coll.		1		1
Univ. of the South				2
Univ. of Tenn.-Chattanooga				1
Univ. of Tenn.-Knoxville	1		1	
Tennessee State Univ.		1		1
Tennessee Technological Univ.				2
Tusculum Coll.				1
Union Univ.				1
*Vanderbilt Univ.			2	

Region V	Independent Fellowships	Residential Fellowships	Summer Stipends	Summer Seminar Participants
<u>Illinois</u>				
Augustana Coll.		1	1	2
Barat Coll.				1
Blackburn Coll.				1
Bradley Univ.				1
Carl Sandburg Coll.				
Chicago State Univ.			1	
* Univ. of Chicago	2		1	1
Eastern Illinois Univ.		1		
Elmhurst Coll.			2	
Univ. of Illinois-Urbana	5			
Univ. of Illinois-Chicago Circle	1	2	1	2
Illinois State Univ.			1	2
Illinois Wesleyan Univ.				2
Kennedy King College		1		
Knox Coll.				
Lake Forest Coll.				1
Loyola Univ. of Chicago				1
Mayfair Coll.				1
Millikin Univ.				1
North Central Coll.				1
*Northwestern Univ.		1	1	1
Oakton Comm. Coll.				1
Parkland Coll.				1
Quincy Coll.		1		1
Rockford Coll.		1		1
St. Xavier Coll.				
Sangamon State Univ.		1		1
Shimer Coll.				
Southern Ill. Univ.-Carbondale	1		1	5
Southern Ill. Univ.-Edwardsville		1		2
Southwest Coll.				
Trinity Christian Coll		1		1

Region V (Continued)	Independent Fellowships	Residential Fellowships	Summer Stipends	Summer Seminar Participants
<u>Illinois</u>				
Triton Coll.				1
Western Ill. Univ.				6
Wheaton Coll.				1
<u>Indiana</u>				
Ball State Univ.				1
Butler Univ.				1
Concordia Senior Coll.				1
DePauw Univ.				1
Earlham Coll.				2
Evansville, Univ. of				1
Franklin Coll.				1
Hanover Coll.				1
Indiana Univ.-Bloomington	4	1	1	1
Indiana Univ.-Fort Wayne				1
Indiana Univ.-Kokomo				1
Indiana Univ.-Northwest				1
Indiana Univ.-South Bend				1
Indiana Univ.-Purdue Univ.-Indianapolis				1
Indiana St. Univ.				1
Manchester Coll.				2
Marian Coll.				1
Univ. of Notre Dame	1		1	1
Purdue Univ.			2	2
St. Joseph's Coll.		1		
St. Mary-of-the-Woods Coll.				1
St. Mary's Coll.				3
St. Meinrad Coll.				1
Taylor Univ.				1
Wabash Coll.		1		1

REGION V (Continued)

Michigan

	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
Adrian Coll.		1		2
Albion Coll.		1		1
Andrews Univ.		1		2
Aquinas Coll.		2		2
Calvin Coll.	1			1
Central Mich. Univ.		2		2
Eastern Mich. Univ.		1		1
Grand Valley St. Colleges				2
Highland Park Jr. Coll.				1
Hope Coll.				5
Kalamazoo Coll.				1
Kalamazoo Valley Comm. Coll.				1
Mercy Coll. of Detroit				1
Univ. of Mich.-Ann Arbor	4		2	2
Univ. of Mich.-Flint			1	
Michigan State Univ.				1
Northern Mich. Univ.		1		1
Northwestern Mich. Coll.				2
Oakland Univ.				1
Saginaw Valley Coll.				2
Wayne County Comm. Coll.			1	
Wayne State Univ.				5
Western Mich. Univ.		2		

REGION V	Independent Fellowships	Residential Fellowships	Summer Stipends	Summer Seminar Participants
<u>Minnesota</u>				
Anoka-Ramsey Comm. Coll.				1
Bethany Lutheran Coll.				1
Carleton Coll.			1	
Concordia Coll.		1		
Gustavus Adolphus Coll.			1	5
Macalester Coll.				1
Mankato St. Univ.			1	1
Univ. of Minnesota--Minneapolis	2			1
Univ. of Minnesota--Morris Moorhead St. Coll.		1	1	1
Normandale Comm. Coll.		1		
College of St. Benedict				1
College of St. Catherine				1
St. Mary's College				3
St. Scholastica, College of				1
St. Teresa, College of		1		
St. Thomas, College of		2		1
Southwest Minn. St. Univ.		1		
Winona State Univ.		1		1
<u>Ohio</u>				
Akron, Univ. of				2
Antioch Coll.				1
Bowling Green State Univ.				1
Buchtel Coll. of Arts & Sciences				1
Capital Univ.				1

<u>REGION V</u>	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>Ohio (Continued)</u>				
Case Western Reserve Univ.			1	1
Cleveland St. Univ.			1	3
Univ. of Dayton				1
Findlay Coll.		1		1
Heidelberg Coll.		1		1
Hiram Coll.		1		1
Kenyon Coll.				1
Kent State Univ.				2
Marietta Coll.		1	2	1
Miami Univ.				1
Mt. St. Joseph, College of		1	3	1
Oberlin Coll.				2
Ohio Dominican Coll.				1
Ohio Northern Univ.				1
Ohio St. Univ.-Columbus	1			1
Ohio St. Univ.-Lima				1
Otterbein Coll.				1
Steubenville, Coll. of				1
Toledo, Univ. of				1
Wilberforce Univ.				1
Wilmington Coll.				1
Wittenberg Univ.				2
Wooster, Coll. of			1	1
Wright State Univ.				2
Youngstown St. Univ.			1	2

REGION V	Independent Fellowships	Residential Fellowships	Summer Stipends	Summer Seminar Participants
<u>Wisconsin</u>				
Cardinal Stritch Coll.				1
Holy Redeemer Coll.				2
Lawrence Univ.				1
Marquette Univ.	1			1
Northland Coll.		1		
Ripon Coll.		1	1	
Univ. School of Milwaukee				
University of Wisconsin -				
Green Bay				2
La Crosse		1		2
Madison				
Milwaukee	4	1	2	
Oshkosh				1
Parkside		1		2
Stevens Point				1
Rock County Center			1	1
Whitewater		1		2

	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>REGION VI</u>				
<u>Arkansas</u>				
Univ. of Ark.-Fayetteville			1	1
Univ. of Ark.-Little Rock			1	1
Univ. of Ark.-Monticello			1	1
Univ. of Ark.-Pine Bluff				1
Ark. St. Univ.				1
Ouachita Baptist Univ.				1
<u>Louisiana</u>				
La. Univ.			1	4
Loyola Univ.				2
Univ. of New Orleans			1	1
Northeast Louisiana Univ.		1		
Southern Univ.				2
Univ. of Southwestern La.			1	
Tulane Univ.				1
Xavier Univ.				1
<u>New Mexico</u>				
Eastern New Mexico Univ.			1	1
New Mexico, Univ. of				
New Mexico Highlands Univ.		1		
New Mexico State Univ.			1	1
New Mexico Tech. Univ.				
<u>Oklahoma</u>				
Claremore Junior Coll.				1
Oklahoma Baptist Univ.				1
Oklahoma St. Univ.				1
Univ. of Oklahoma		1		
Oscar Rose Jr. Coll.			1	
Univ. of Tulsa			1	1

<u>Texas</u>	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
Abilene Christian Coll.				
Austin Coll.				2
Bishop Coll.				1
Univ. of Houston				1
Houston-Tillotson Coll.			1	
Incarnate Word Coll.		1		1
Laredo Jr. Coll.		1		
Lee Coll.				
McLennan Comm. Coll.				1
Mountain View Coll.				1
Moody Coll.		1		1
North Texas St. Univ.				1
Odessa Jr. Coll.				1
Pan American Univ.				1
*Rice Univ.				1
Richland Coll.			1	
Univ. of St. Thomas				2
Sam Houston St. Univ.				1
Southern Methodist Univ.				1
Southwestern Univ.				2
Southwest Texas St. Univ.				1
Stephen F. Austin St. Univ.				1
Tarleton State Univ.				1
Tarrant County Jr. Coll.				1
Univ. of Texas-Arlington				2
Univ. of Texas-Austin				1
Univ. of Texas-El Paso			2	
Univ. of Texas-Permian Basin			1	
			1	
			1	
			1	
				3

<u>Texas (Cont.)</u>	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
Texas A & I Univ.		1		1
Texas A & M Univ.			1	1
Texas Christian Univ.				1
Texas Wesleyan Univ.		2		1
Trinity Univ.				

	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>Iowa</u>				
Briar Cliff College				1
Buena Vista College				1
Central College				2
Coe College				1
Cornell College				1
Des Moines Area Comm. Coll.				1
Graceland College			1	1
Univ. of Iowa	1			1
Univ. of Northern Iowa		1		1
Le Mars College				1
Loras College				1
Luther College		1		1
Mount Mercy College				1
Ottumwa Heights Coll.				1
Simpson College				2
<u>Kansas</u>				
Benedictine College				1
Cloud County Comm. Coll.				1
Fort Hays Kansas St. Coll.		1		1
Univ. of Kansas			1	
Kansas Newman College	1			1
Kansas State College				1
Kansas State University			1	2
Kansas Wesleyan				1
Neosho County Comm. Coll.				1
St. Mary College		1		1

	Independent Fellowships	Residential Fellowships	Summer Stipends	Summer Seminar Participants
<u>Missouri</u>				
Central Methodist Coll.				1
Central Missouri St. Univ.				4
Cottey College				1
Evangel College		1		1
Florissant Valley Comm. Coll.				1
Jefferson College				1
Univ. of Missouri - Columbia	1		1	
Univ. of Missouri - Rolla		1		
Univ. of Missouri - St. Louis			1	
Missouri Southern St. Coll.				1
Northeast Missouri St. Univ.				1
Park College				1
School of Ozarks				1
Southeast Missouri St. Univ.				1
Southwest Missouri St. Univ.				3
Stephens College				4
* Washington University			1	
Webster College				1
<u>Nebraska</u>				
Chadron State College		1		3
Kearney State College				2
Midland Lutheran Coll.				2
Univ. of Nebraska				2
Nebraska Wesleyan Univ.			1	2
Wayne State College				2

	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>REGION VIII</u>				
<u>Colorado</u>				
Colorado College				1
Colorado School of Mines				1
Colorado Women's College				1
Colorado, University of	1		1	
Fort Lewis College				3
Metropolitan State College				1
Northern Colorado, Univ. of				1
St. Thomas Seminary College				1
<u>Montana</u>				
Eastern Montana College				2
Montana, University of			1	
Montana State University		3		4
Northern Montana College				1
Rocky Mountain College				1
<u>North Dakota</u>				
North Dakota State University				2
<u>South Dakota</u>				
Black Hills State College				3
Dakota State College				1
South Dakota, University of		1		
South Dakota State University				1
<u>Utah</u>				
Southern Utah State College				1

<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
			1
			1
			2

Wyoming

Casper Community College  
 Northwest Community College  
 Wyoming, University of

	Independent Fellowships	Residential Fellowships	Summer Stipends	Summer Seminar Participants
<u>REGION IX</u>				
<u>Arizona</u>				
Univ. of Arizona			2	1
Phoenix College				1
Pima Community College				1
Scottsdale Community College				
<u>California</u>				
American River College				1
Barstow College				1
*Univ. of California	4		3	
Berkeley			2	
Davis	1		1	
Irvine	3		2	
Los Angeles	1		2	
San Diego	2		3	
Santa Barbara	1		2	
Santa Cruz				3
California Lutheran College				1
California Polytechnic St. Univ.				2
California State College				1
Bakersfield				1
Dominguez Hills		1		3
San Bernardino				
Sonoma				
Fullerton	1			
Hayward			1	
Long Beach	1		1	
Northridge	1			2
San Francisco				
Chabot College		1		
Citrus College				1
City College of San Francisco		1		
Claremont Men's College			1	2

REGION IX	Independent Fellowships	Residential Fellowships	Summer Stipends	Summer Seminar Participants
<u>California</u>				
^Cypress College				1
Diablo Valley College				1
Dominican College of San Rafael				1
East Los Angeles College				1
Grossmont College				1
Humboldt State University		2		3
Laverne College				1
Loma Linda College				1
Lone Mountain College				1
Los Angeles Pierce College				2
Los Angeles Valley College				1
Mendocino Community College				1
Moorpark College				1
Occidental College			1	
University of the Pacific				1
Pacific College				3
Pasadena City College				1
Pepperdine University				2
Pomona College	2		1	1
Rio Hondo College				1
St. John's College				1
St. Mary's College		1		
San Diego State University			1	
University of San Francisco				1
San Joaquin Delta College				1

REGION IX	<u>Independent Fellowships</u>	<u>Residential Fellowships</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>California</u>				
University of Santa Clara		1		1
Santa Rosa Junior College				1
Solano Community College				1
Southwestern College			2	1
*Stanford University	3			
Stevenson College	1			1
Westmont College				1
Yuba College				1
<u>Hawaii</u>				
University of Hawaii			1	1
Hawaii Loa College				1
Hilo College				1
<u>Nevada</u>				
None				

<u>Institution</u>	<u>Independent Fellowships</u>	<u>Program</u>	<u>Summer Stipends</u>	<u>Summer Seminar Participants</u>
<u>REGION X</u>				
<u>Alaska</u>				
	none			
<u>Idaho</u>				
University of Idaho		1		2
Northwest Nazarene College				1
College of Southern Idaho		1		
<u>Oregon</u>				
Blue Mountain Community College			1	1
George Fox College				1
Linfield College				
University of Oregon	1			3
State Univ. of Oregon				4
Reed College		1		1
Southern Oregon College				
<u>Washington</u>				
Belleuve Community College		2		
Central Washington State College		1		2
Eastern Washington State College				1
Fort Wright College				1
Gonzaga University				
Univ. of Puget Sound		1		2
Walla Walla College				1
Univ. of Washington	2			
Western Washington State College		1	2	1

Summer  
Seminar  
Participants

2  
1

Summer  
Stipends

Residential  
Fellowships

Independent  
Fellowships

Washington (continued)

Whitman College  
Yakima Valley College

Dr. BERMAN. Should there be a perceived deficiency in the fellowships that go to the South, other programs of the endowment attempt to bring to make this up. There is a good deal of education division money in the South.

For example, development grant at the University of Florida at Gainesville, funds that have gone to Morehouse College in Atlanta, a development grant at Loyola College of New Orleans.

So with different programs there will be different amounts of money available.

Senator PELL. What is the size of the average grant that has been awarded by the Humanities Endowment, fiscal 1975?

Do you have a feel for that?

Dr. BERMAN. We can tell you the average amount of money and the average grant within divisions.

For example, an average fellowship grant would be within the parameters we mentioned. An average education grant will be 2 or 3 times that size.

Our research grants will also be in that same vicinity.

Senator PELL. The figures that I am working from include everything. They include all grants from youth fellowship of \$1,900 for the study of Hebrides to the Adams Chronicle with its \$1.5 million, and the figure that I have is the average grant is about \$50,000, a little more.

Does that make sense to you?

Dr. BERMAN. Well, it is in that vicinity, Senator, certainly.

Senator PELL. Why has that gone up so much?

When you started out, it was about \$25,000. It has more than doubled.

Dr. BERMAN. Since I started out, we have had inflation that has raised expenses of some places in some areas by 300 percent, especially the effects of OPEC increases in fuel for universities.

Aside from the inflation, there has been expansion of educational opportunity, and there has been a great many things that the endowment wished to do.

The endowment could not have put on the Adams Family Chronicles at a lesser sum of money.

Senator PELL. But the average arts grant is about half and, as I understand it, has actually gone down. The average arts grants has gone down to \$22,000 this past year, fiscal 1975, while yours has gone up.

What would be the reason?

Dr. BERMAN. I think I would have two reactions to that.

Arts Endowment, blessed be its name, is really very separate from Humanities Endowment. I have no criticisms of it, and only praise. But I do not think we ought to be compared to the Arts Endowment either in a general context or in specific grants.

We do very different things.

Second of all, the amount of money that the endowment does pay in grants is related strictly to their functioning.

Senator PELL. Pardon me?

Dr. BERMAN. The amount of money that the Endowment for the Humanities pays out is related to functioning of these projects. Since, on one end of the scale, there are very large amounts of money, as in the Adams Chronicles, we cannot hope for a lower average. In addition, a lot of this is connected to gifts and matching.

We are able to point out, for example, that about \$6 million has gone into the New York Public Library. Fortunately, about \$4 million of that was private money raised by gifts. We would not wish to lower that \$6 million, and so we do not feel badly about it raising the average.

We feel, in short, that it has been a decided advantage for the taxpayer.

Senator PELL. I see your point here, but it would reflect in the arts a wider distribution, when the average grant is half the size.

Maybe the impact would be less which is your point. But still there is a wider distribution.

Dr. BERMAN. If we are talking about distribution, what we have to do is divide the \$2 or \$3 million that went to the Adams Chronicles by the 10 or 20 million people who saw it. We then get an average cost per viewer or per beneficiary of somewhere in the vicinity of a few pennies.

Senator PELL. I would like to touch a little bit on the question of Federal support generating non-Federal assistance.

You say that the Arts and Humanities is very different. But I am not sure they are all that different.

As Barnaby Keeney put it, "If you do it, it is Arts; if you write about it and study it, it is Humanities." But it is all the same general ball park. The Arts Endowment has been very successful in getting matching grants.

In this regard, when you make a grant, not only a fellowship grant, but a regular grant, do you ask for matching funds or not?

Dr. BERMAN. We ask for matching funds, and we also are responsive to an applicant who is able to indicate that matching funds are not available to him.

Now, we really have done, I think, rather well, although that is bound to be a self-interest judgment, but I think we have done rather well in purely monetary terms in getting funds.

Between State committee matching and between gift and matching regularly, we have got very, very close to \$50 million during my 4-year tenure. It is a very large amount of money. Of that, two things may be said. The gift and matching is equal very nearly to the limit set by Congress. And the other sum of money approximates that raised by the Arts Endowment at a similar point of development in its own State council development.

On the whole, I would have to say that we are delighted with gift and matching provisions.

We should be able to raise as much as possible. The new challenge grant in the legislation, it seems to us, is an excellent idea, particularly as it has been amended to allow us broad use.

Gift and matching does a prodigious thing. It not only brings in cooperation between the public and private sectors, but it actually brings into being for the entire world that we deal with, cultural institutions, more Treasury funds.

I think a final word ought to be noted about the context of gift and matching. That is, the world of the Humanities—we talk about half a billion-dollar year budgets, from SUNY or from the California system—has a tremendous amount of funds for institutions already in being. There is a terrific amount of money for the Humanities already in circulation.

Now, if we can match, if we ever turn to general support and if our challenge capacity is ever extended, we can have almost unlimited opportunity for matching.

I think that is an excellent opportunity for the program.

Senator PELL. I thank you. I thank you for your willingness to respond to the questions I have asked, and to submit for the record the specifics.

What we need in oversight is as clear a picture as possible as to exactly how the money has been spent and the number of applications, where they have come from.

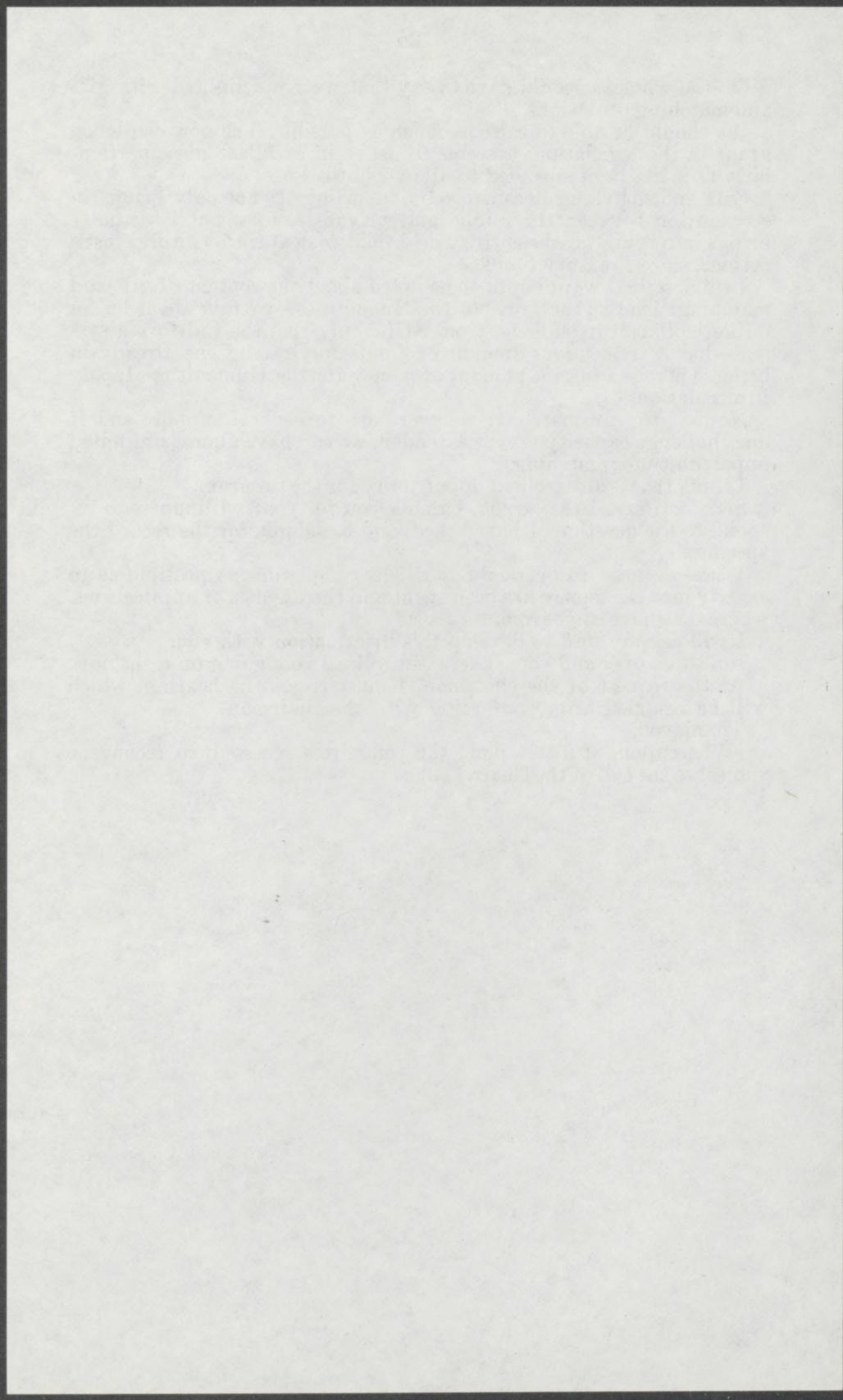
I will ask my staff to develop this information with you.

I must go over and vote. There is a rollcall vote going on right now.

At the request of the chairman, I must recess the hearing, which will be resumed after conferring with the chairman.

Thank you.

[Whereupon, at 12:24 p.m., the committee recessed, to reconvene subject to the call of the Chair.]



## NOMINATION

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TUESDAY, SEPTEMBER 21, 1976

U.S. SENATE,  
COMMITTEE ON LABOR AND PUBLIC WELFARE,  
*Washington, D.C.*

The committee met, pursuant to recess, at 10:30 a.m., in room 4232, Dirksen Senate Office Building, Senator Claiborne Pell presiding pro tempore.

Present: Senators Williams (chairman), Pell, Javits, Stafford, Taft, and Laxalt.

Senator PELL. Senator Williams is in the course of conducting another meeting and had asked me to open this meeting. He will be over here as soon as he can.

We have quite a few things to get through so I will start out.

We welcome Dr. Berman back this week. By way of transition as we move along, I had the opportunity to go briefly over the figures that were submitted and which are most appreciated from the Endowment for the Humanities.

Some of those statistics which I had asked pertained directly to what we discussed last week; namely, the projection of funds which you distributed to publicly oriented projects as opposed to academic ones. And to conclude briefly that phase of the questioning, I just want to review and be sure we have in the record the figures you have developed for this committee.

According to those figures, the proportion of your grant funds which go to the so-called public-oriented programs has declined over the last 2 fiscal years. In fiscal 1975, your own figures showed 38 percent of your funds, not including the State-based programs, the 20 percent for the States, but of the funds you directly manage or handle, 38 percent of those funds went to public-oriented activities, and 62 percent to academic-oriented activities.

In fiscal 1976, the figures that you furnished showed that the public-oriented activities declined to 32 percent, that is, from 38 percent to 32 percent.

Academic-oriented activities increased to 68 percent, which is the exact opposite of the direction that was indicated we were speaking about last week.

To put this in dollar terms, you decreased the public-oriented spending in fiscal 1975 to 1976 and spent \$1 million less on public programs last year than the year before, but spent \$7 million more in academic grants last year than the year before.

Dr. BERMAN. Would you like for me to respond to that?

Senator PELL. Certainly. I would ask if you could, we have so much to cover here, and I want to give you a full opportunity, to keep your responses as brief as possible.

Dr. BERMAN. I will be very happy to.

There are four points germane to this issue.

The first is that the agency has a good deal of difficulty in making the subtraction of its funds to State-based committees. After all, this is about 20 percent of the agency's funds. We fully give 20 percent of these appropriation funds out, and we cannot see any reason why a standard should be established which does not recognize this.

The second point is that although a certain amount of funds do go to institutions of learning, they go there for further redistribution.

We have many examples of hundreds and hundreds of grants being redistributed because they go, first, to a central point.

Third, the legislation governing the agency indicates that we shall support such activities as linguistics, literature, history, social sciences, religions, and jurisprudence, et cetera. These are to be found at cultural institutions like universities and various other places besides.

It is very difficult to avoid funding the academic enterprise and indeed one should not avoid doing that.

You have noticed what seems to me to be a relatively small differentiation between 1975 and 1976. This cannot compare with the amount of money that since 1973 has gone into the public sector. I think that will bear repetition. The amount of difference in 1975 and 1976 is extremely small. It is, to tell the truth, derisory when compared to the amount of money since 1973 which has gone into the public sector.

We are talking not about a difference of \$1 million, not about two or three statistical point decline which may soon rise on the next graph, but an absolute difference of dozens of millions of dollars and a percentage differing from the original 19 percent in 1973 to about 49 percent at present.

So over the terms of my tenure, the change has been extremely sharply differentiated, and I think the argument would not hold that there has been a decline in public funds.

Senator PELL. Thank you.

I think we will just let the record speak for itself. The figures, the percentages, the dollars, are a matter of record.

At the conclusion of the hearing last week, I was asking you about the amounts of matching funds which the Humanities Endowment has been able to generate. I believe you gave a figure of close to \$50 million during your 4-year term.

It is a very large amount of money. I would agree with you. But I also am struck by the fact that the Endowment for the Arts has generated nine times that much money, or \$450 million, which is an even larger amount of money.

Dr. BERMAN. Could you tell me in reference to what has been generated—is this gifts?

Senator PELL. I believe this is the amount of non-Federal moneys that have been generated, including State legislative appropriations, in 4 years time—we can insert the figures in the record.

[The information referred to follows:]

## NATIONAL ENDOWMENT FOR THE ARTS

	Fiscal 1973	Fiscal 1974	Fiscal 1975	Fiscal 1976
Appropriations by Congress	\$ 38,200,000	\$ 60,775,000	\$ 74,750,000	\$ 82,000,000
Non-federal funds generated	\$ 39,500,000	\$ 67,500,000	\$ 78,400,000	\$ 85,000,000
Program	29,000,000	48,000,000	56,400,000	60,400,000
Treasury	10,500,000	19,500,000	22,000,000	24,600,000
Total non-federal funds	\$270,400,000			

## State Legislative Appropriations

	Fiscal 1973	Fiscal 1974	Fiscal 1975	Fiscal 1976
	\$ 29,246,863	\$ 33,585,085	\$ 58,930,115	\$ 61,017,945
Total State Appropriations	\$182,780,008			

TOTAL: \$453 million.

Dr. BERMAN. Thank you.

It is good to know about that, Senator. That led up to about half the money generated for Humanities in those same States.

Senator PELL. I think it is \$50 million versus \$450 million.

Dr. BERMAN. \$50 million has gone directly to Humanities Endowment. But the entire universe of support for the Humanities—libraries, museums, universities, et cetera—is about double the figure you have named for arts.

Senator PELL. You think it would be \$100 million, double that 50?

Dr. BERMAN. No, no, no. We could not at this point in our development raise that much money in direct gifts to the Endowment. But the amount of money that has been raised indirectly for the entire universe of Humanities institutions is considerably higher than raised for arts.

Senator PELL. We will leave the figure in the record. I am talking about direct matching figures and State appropriations.

Dr. BERMAN. That is correct.

Senator PELL. I realize that the Humanities have different programs and Humanities for the Endowment seeks matching wherever possible; I appreciate that. I think we must go further in this regard. We are talking about the outreach, the impact, and the involvement of others in these programs. We are talking about the maximum amount of the Federal investment of the taxpayers' dollar.

I am very struck by the fact that there is a business committee for the arts, including business leaders from all over the Nation.

Is there a business committee for the Humanities?

Dr. BERMAN. The National Council on the Humanities has dealt with the idea of various support committees being organized. They have until now not been convinced that it would do a great deal of good for the Humanities.

One of the reasons is that there are already a number of organizations and a good number of representations that pertain to the Humanities. There is, for example, the National Council itself. There is a very large number of people from labor and from the business world represented on our State-based committees. Indeed, we have material to indicate the status of the representation from the world of business who are presently involved in our programs.

Generally, the Endowment has tried programatically to interest people so that with the American issues forum we dealt with people from the media, people from the business world, people from the world, people who in every sense of the word should be very useful to the Humanities.

Senator PELL. But the fact of the matter is in specific terms, there is no similar national organization for the Humanities, even though it has been in existence for a good many years.

Dr. BERMAN. It is not.

But we on the other hand are free from the imputation that such an organization might be designed simply to lobby for us.

Senator PELL. But it does generate a good deal of money. I believe the Business Committee for the Arts is generating \$200 million, saving the taxpayers \$200 million.

Dr. BERMAN. That of course is devoutly to be wished, but Arts and Humanities can never be directly compared. I think that before Arts and Humanities ever existed as Government agencies, the role of

society in general, business in general, was always very marked in the performing arts; so it was then the American tradition for opening nights, for membership in trustees, for a great many other purposes to have precisely that kind of representation in the world of arts.

The world of humanities is not at all like that; and indeed has a different web and intricate web of relationships.

Senator PELL. We can get into quite a long philosophical discussion here. You can get into an argument that the Humanities has greatly endowed institutions on which to draw, and a great deal more support on which to draw than the arts. You either have to generate support from their patrons or from their paid admissions or from the Government; and for that reason, I would hope that the Humanities would move in the direction of some kind of similar business committee for the Humanities, business council for the Humanities, letting private enterprise get into this, too.

Dr. BERMAN. In this case we would certainly want to explore that, because it seems to me if the senatorial committee which has oversight is interested in that, we should give it our most serious attention.

If I might add, at the risk of overemphasis, I do not think that raising \$50 million can be regarded as a failure. That is to say, it may not be as high as moneys raised by somebody else, but it is a very considerable sum of money.

Senator PELL. I agree. I would emphasize here, in speaking of the Arts program and its outreach and the investment for the taxpayer involved, I stress, as you know, that States' arts councils are now generating approximately \$60 million in State funding for the Arts. I think I am correct in saying that the Humanities committee, State Humanities committees are not generating anything like that funding.

Dr. BERMAN. We are as a matter of fact generating something like that; and interestingly enough, one statistic we worked out pointed out that at this precise stage of development, about 4 years after full operations, the Humanities State committees are turning out almost the same amount of money as was at a similar stage of development turned out by the arts councils.

Senator PELL. I believe it is about \$20 million, is it not, at this time?

Dr. BERMAN. It is somewhat more than that, Senator.

Senator PELL. And in 10 years you have the thousand community arts councils that have been developed throughout the Nation, which I do not think have an opposite number or parallel with the humanities.

Dr. BERMAN. That is correct, sir.

Senator PELL. On June 30 of this year, the National Association of Counties in its 41st annual conference adopted a resolution on "The Quality of Life in Our Counties," which says, in part, that this grass-roots-level association urges counties to recognize the arts as an "essential service equal in importance to other essential services, and help make the arts available to all our citizens."

My question to you is, have you been in contact with this association or similar associations and why aren't the humanities mentioned?

Dr. BERMAN. I do not know if we have been in contact with them. It may be they have written to us in the past, that they may be the source of applications or even successful recipients of grants. There is no reason for us not to advise and find out whether or not such an association might be of use to the humanities.

But it cannot be too much overemphasized that the humanities is very different from the arts, and has very different relationship to its constituents.

Senator PELL. The U.S. Conference of Mayors adopted a similar sort of resolution, saying that every city should be encouraged to establish a public agency specifically concerned with the arts.

The National Conference of Governors did the same thing in connection with the arts. This is the direction that the humanities should go and the kind of leadership I would like to see. The humanities should be mentioned as well, and given, if not equal billing, at least some billing or parallel billing.

Dr. BERMAN. Well, I would disagree with that, Senator. I think that what is substantive and what we have accomplished is what we have accomplished is what matters. To be mentioned by the Association of Mayors and Governors is a fine thing. But to actually have grants that benefit the regions, the States, the communities, has always been our major effort. Indeed, when we go into these regions, it is generally the decision of mayors and of Governors and everyone in civic life that the grants have done the job for us.

Senator PELL. The fact remains though that whether it is \$50 million or \$100 million that you generate, the arts have generated \$450 million; and the fact remains they have these thousand entities scattered across the country. You have none. These are facts that we hope will be altered as the years go on, but there they are.

I will add here that I do not mean to take up all the time in this hearing, but I have so many questions, and I will try to move through as quickly as I can.

The 10-minute rule really should apply.

I would defer at this point to my Republican colleagues.

Senator TAFT. Thank you, Mr. Chairman.

Senator PELL. Or if you care to interrupt at any time; whatever you like. I do not mean to hog the hearing.

Senator TAFT. Senator Javits is going to return, and I am sure he has some questions.

I would like to ask you, Dr. Berman, to give your reasons and expand on your views why the role of the Endowment for the Humanities should differ from the role of the Endowment for the Arts insofar as stimulating grassroots reactions. Why do you go about it differently? What is the basic difference in respective institutional arrangements in the arts and the humanities?

Dr. BERMAN. I think, Senator, I would agree with the implication that it is good to stimulate grassroots support.

I think, however, that every agency has to go about this in a different way.

The Arts Endowment—at this course I don't speak with a good deal of accuracy in talking about another Government agency, and that is to be admitted from the first—but the Arts Endowment is after all concerned with production and with performance. The work of the Humanities Endowment is spread over many years. The years, let us say, that it takes a historian like Dumas Malone, mentioned in a long article today in the Washington Post on the authenticity of the Thomas Jefferson heritage, 20 years to do something like his work.

The work of the Humanities Endowment has to be spaced in such a way as to take account of the fact that there is not a performance and not a production involving many people, but that there may be one man over a period of two decades turning out work that, for the next 100 or 200 years, will probably—as far as we can tell—be the most authentic record we can tell of President Jefferson. We have to approach that very differently. We have to understand the demands of research.

We have to understand the demands and the standards of scholarship.

The Humanities Endowment, however, does not want at all to say that we only do research or we only do scholarship. Because there are two ways to get at the grassroots in America.

One of them would be the path that we have chosen. That is, through media shows, like the Adams Family Chronicle, to see whether enormous amounts of people can be brought into the world not only of television, but the world of education.

So far as we can see, judging by newspaper response, by audience response, if that is any standard at all, we have been pretty successful.

Let's see how the grassroots tend to look at itself. Well, I think the grassroots recognizes itself through the newspapers, and I have just taken at random in the last week between these two hearings some indications from the whole world of media that would tell us more or less I think with a good deal of accuracy whether we are getting to the grassroots.

If you take a look at the things now, things I simply culled from the daily papers, you have here in the Washington Post of just a few days ago, an entire page of advertising, all quite free to the Government, all very expensive to the Post, and the network putting it in, talking about courses by newspaper.

This is certainly reaching people in the grassroots. This is certainly one way by which the humanities are getting to readers in the tens of thousands, not to speak at all of those that sign up for these courses. This is one example.

Senator TAFT. I would ask unanimous consent that the text of the newspaper article referred to by Dr. Berman be put in the record.

Senator PELL. Without objection.

Dr. BERMAN. Thank you very much, Senator.

Here is something that came out yesterday. This is another newspaper, the Washington Star, another full-page ad entitled "The Adams Chronicles," which began again last night.

If we were successful the first time in propagating this largest and most successful television show, evidently we are doing it all over again. I do not know how much these ads cost. They must go well into the thousands of dollars. I know everyone we call "grassroots" is looking at this and trying to see whether the product delivered over TV is that good.

Senator TAFT. I make the same request with regard to that material.

Senator PELL. Without objection.

[The articles referred to follow:]

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NEW YORK TIMES

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NEWSWEEK

"EVERYTHING ABOUT THE PRODUCTION DESERVES SUPERLATIVES."

DALLAS NEWS

"THE BEST DRAMATIC SERIES AMERICAN PUBLIC TELEVISION HAS EVER PRODUCED."

WASHINGTON POST

"ITS CREATORS HAVE CAPTURED THE SPIRIT AS WELL AS THE FLESH AND BLOOD OF THIS COUNTRY'S ORIGINS."

PHILADELPHIA BULLETIN



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**TONIGHT: PART ONE-JOHN ADAMS, LAWYER**

## THE ADAMS CHRONICLES

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(REPEATS: SATURDAYS AT 5:00 PM & SUNDAYS AT 10:00 PM)

Dr. BERMAN. There is another kind of grassroots; I think you would not say that there are not any people involved, but here is Sunday's New York Times. This is the stuff I picked up at random—I could not possibly have known between the two hearings we would have this.

But this is Atlas of Early American History, which is the lead article in the New York Times book review. I do not know what the circulation of the New York Times is, but here is a very laudatory article mentioning the Endowment, describing about how the endowment's funds have been invested for public use, and talking about the Atlas of Early American History supported by the endowment.

One further item I do not have with me.

In this week's Newsweek is an entire page on one of our programs for schoolchildren, run by a fellow named Widlin—and I could dig out from this massive stuff here some indication of what that particular grant is—but I think that the details would be too much trouble right now.

We have here evidence that people read Newsweek, the New York Times, the Washington Star, and the Washington Post, and are being hit in the widest, most circulated way so that the awareness of what we do is widened.

I think the evidence is really better than anything else.

Senator TAFT. I have one other question relating to my original question. Perhaps you can focus your answer a little differently.

Is the nature of the institution with which you deal—considering its history and the general resources—basically different from those which are dealt with in the Endowment for the Arts?

Dr. BERMAN. I think they are entirely different. Theater companies come and go. They are formed and reshaped. Universities, set up by the States, have long and very traditional existences.

Senator TAFT. They are public bodies in many instances?

Dr. BERMAN. Yes; they are.

Senator TAFT. Units with the Endowment for the Arts generally are not?

Dr. BERMAN. They are nonprofitmaking certainly.

Senator TAFT. But I want to make the point that many universities dealing with NEH are actually State universities and public bodies, which constitute a large portion of the academic institutions in this country. Is that not true?

Dr. BERMAN. That is certainly true. They comprise the bulk of the places we are dealing with. We are not really talking about endowment funds going preponderantly to places with large endowments, and perhaps with fancy names or histories. We are talking about State university systems that are publicly supported but definitely nonprofitmaking.

There is not a great deal of loose money in that world.

Senator TAFT. When you talk about contributions or matching funds to them, you are really talking about public funds that come from State sources?

Dr. BERMAN. Public funds and gifts that trustees and alumni are sometimes able to give to match our grants.

Senator TAFT. I apologize if it is repetitive, but would you give me a quick rundown of what you feel are your accomplishments over the last 5 years that would justify our approving your renomination?

Dr. BERMAN. I would be happy to, Senator.

I think first of all we have to remember what kind of 5 years it has been. For government in general it has been an uncomfortable time. I think it quite true to say there has not been a great deal of confidence in government because of Watergate and a great many other things that have happened.

In that 5-year period a Government agency has been—I will not use the word creative, but I should say encouraged to take on a shape that has given most people, most who are affected by it in this country, a very good idea of how much it is worth. I think we have made the Endowment into a model of what a Federal agency should be, for one reason perhaps because it is small; for another, because it is manageable. But most of all because of its very careful procedures and evaluations.

Applications are gone over by panels of experts, no matter what the decision is. The good ones, the bad ones, those successful and those not. The best indication of the value of this is, how do we rate with our constituents, with our grantees, and best of all with those who are not successful in applications.

It would appear from whatever records we have, from what we read in the media, from our consultations with everyone in the whole world of the humanities, that we are doing pretty well; that there is a lot of respect for the agency, and that its procedures, just like the National Science Foundation's, are really fair and objective.

NEH has to be seen, however, in the 5 years as making a transition; because I think Senator Pell is quite right in insisting that it serve the public in as direct and useful a way as possible. Indeed, it is my position that we have done so and that the evidence also bears this out.

When NEH began, it was under the auspices of scholarly organizations devoted more or less exclusively to fellowships and to scholarship supporting the editing of certain volumes of scholarly works. That is not at all the way the agency can be construed today. It has by a factor of over 200 percent changed its contribution to the public as we can see by those ads for courses by newspaper, which are carried in over 400 newspapers—that certainly is I think some indication of its grass-roots effectiveness—and by TV stations that probably reach more than 400 newspapers, and by all kinds of programs that have enabled us to make a successful transit from serving the scholarly community to sharing interest between scholarly concerns and the general public.

In some of the NEH work, as in State-based committees, literally thousands of citizens will be conscripted, so to speak, into our ranks—businessmen, people from labor, teachers, civic organizations, and simply the general public—people at large, individuals unconnected with any association.

In thousands of towns and communities—and by now we have served 5,000 of them—and with enormous powers of diffusing its grants to local organizations, archives, local libraries, small colleges, little museums, this State-based system has enabled people on the level of the grass roots to get together and get some sense of what the humanities means.

I think one thing ought to be specified, and that is the role of the agency in the Bicentennial.

The Bicentennial has taken place, as it were, but for us it was never a single event. It took years of preparation, and it may indeed take

years to unwind, and it also will take years to find ways in which the thing that we did for that occasion can be translated into other occasions equally valuable.

At any rate, the Bicentennial proved just how NEH can act in response to public interest.

The American Issues Forum was the largest single enterprise ever conducted in the history of the United States for the purpose for which it served. It linked together dozens of organizations and hundreds of thousands of citizens, for many good purposes. It brought together the AFL-CIO, National Council on Aging, the Foreign Policy Association, the National Association for the Advancement of Colored People, an association for the blind, for those who are otherwise handicapped, business, and again citizens in general.

What this did was to allow a large umbrella over the 9 months of the academic year during the Bicentennial to provide for all kinds of television shows, courses by newspaper, and public discussions under the aegis of the AIF.

In addition to this, we make sure that the customary work we did could itself be translated into something for the public.

At the last hearing, I had this interesting stack of books over here. I could hold up a couple of volumes here, one from Arizona and one from Michigan and one from Florida and other States represented, and all 50 of them will be represented in the year to come.

Now, there was a grant to a group of scholars, very large grant, although when you divide it 50 ways, I think it comes out pretty economically, and yet I think the readers, not only in the present, but the libraries of the future, are going to be terribly impressed, if not dismayed, by the amount they have to read that was creatively left as a legacy for them by this agency.

The country does not have at this point a full set, anything near that, of a history of each State. So that this is I think a unique opportunity to see how the private and the public world that we support can work together.

I think the next point that we ought to make has to do with the upgrading of the Nation's cultural life.

Obviously, a cultural life is not only the Federal Government's business, and yet we have something to do that will enable people to make better and clearer and more rational choices.

So many of the things that we have done with the Bicentennial, with our grants in general, have to do with this.

For example, our museum exhibitions. If we talk about the grass-roots, we have got to talk about over 800,000 people who saw the Chinese exhibition in San Francisco; over 300,000 people who saw the French impressionists in New York; and let alone how many hundreds of thousands who are going to see the Egyptian exhibition that it will happen at the National Gallery with the Humanities Endowment paying much of its expenses there and in the cities of Chicago, New Orleans, Seattle, and Los Angeles.

I think cultural life of the Nation is improved in two ways, not only on the evidence that perhaps a million people or more, I think probably more, will get to see this exhibition, but also that it is a good thing for the Endowment to be promoting international exchange and that it is likewise a good thing for the Endowment to support the

smaller museums in this country, which it does with as beneficial a hand as is possible.

I think we have tried to make—I know I have certainly tried to make—the humanities a presence in cultural life; and not only in cultural life, because that is a distinction sometimes that seems too hightoned, too removed from the things we ordinarily do.

The advertising that I showed you from the newspaper—that is the Post, on courses by newspaper—indicates that humanities does have a place in the life of this country having to do with values, ethics, ideas, and certainly our own history.

The advertisement celebrates—I think that is precisely the right term—celebrates the use in hundreds of newspapers of a course of lectures designated by the Endowment for the public. It acknowledges that about 20 million people, if we are to go on anything like the number in the last Courses by Newspaper projects, are expected to utilize this great humanistic opportunity.

The courses we have ahead of us deal with the intelligent use of our ocean resources, and the courses last time dealt with American history and with minorities and before that with other branches of American culture, history, and politics.

So on the whole, it seems to me, sir, that the best thing that can be said for the Humanities Endowment is that in the last 5 years it has moved from private to public influence; is that its audience is numbered now not only among the best scholars in the country who we can never do without, but also literally millions of people who see the Adams Family Chronicles and who read Courses by Newspaper.

Senator TAFT. Thank you very much.

Senator PELL. Senator Laxalt, I understand you are under some pressure; so would you like to proceed now?

Senator LAXALT. I was, but I think Senator Taft asked the questions I would have asked otherwise; and I think it is well covered, except for one thing.

In summary, when this matter comes to the floor, and I hope that it will, if a colleague asked me why Dr. Berman should be renominated, could you summarize why you feel you should be?

Dr. BERMAN. I am glad you asked that, Senator.

The reason I would approve my own renomination would have to do with the changes I made. I have tried to say something about the accomplishments that I have been able to help along. It may be more accurate to talk about changes and let the Senate judge the accomplishments.

Senator LAXALT. Incidentally, as far as the standard is concerned, I do not believe that the standard for renomination should be excellence or superior performance, because if that became the standard around this town, we would have a hell of a housecleaning.

Senator PELL. Excuse me.

I would argue with you on that, though, when you talk about a set term. Here I am not talking about a chairman serving at the pleasure of a President. When you have a Commandant in the Marine Corps or the Coast Guard, they have not been reappointed except in one case, which I can recall, being in the Coast Guard, since World War II. With a fixed term, 4-year appointment, which is a pretty good idea, usually you find a certain rotation in the office—

Senator LAXALT. That may well be. I just object, respectfully, Senator Pell, to the standard which apparently was applied at the last hearing which implied to me, that excellence or superior performance was the criteria.

To me that is entirely too high a standard to be applying in a situation of this kind. It is one I never applied as Governor and I do not think as Senator I should change that particular standard.

Senator PELL. Would you not for the head of your police, when you were Governor, after 4 years, under normal circumstances, would you not move him on and have another one come in?

Senator LAXALT. Not at all.

Senator PELL. In for life?

Senator LAXALT. I think as long as he did a job for me, he would be there. That is pretty much the philosophy I would like to apply in this situation.

I think Dr. Berman has done a good job, in accordance with fairly normal standards, and he should be kept there.

Please continue.

Dr. BERMAN. That is very kind of you, Senator. I hope I can exceed those standards.

The best way to look at the way the job is done is to see what it was like in the beginning.

When I came to NEH over 4 years ago, we had a relatively small amount of applications. That indicated certainly that the agency was not as visible to the general public and that people did not get an idea that what the agency had to do reflected on their lives. We had about 4,000 applications, requesting \$124 million back before my time.

Since then, things have snowballed.

I do not think it is a bona fide or de facto proof of competence that applications and requests for money should exceed at this point what they once did. But the interesting thing is that most of these are worth funding, that they are very good, that they are sophisticated, that they are extremely useful, both to individuals and societies.

What is indicated now with our annual crop of over 6,000 applications, requesting about three times as much money as we have, is that the agency has come to be perceived as the right place for doing projects that will help scholars and ordinary members of the general public.

Senator LAXALT. On this point, before we proceed further, Senator Pell made an observation which troubles me philosophically during the course of the last hearing. It was to the effect that the decision-making process through your administration was being pretty well preempted by Washington, at the exclusion of the States.

Is that a fair characterization of your approach?

Dr. BERMAN. I would put a much different interpretation on it, Senator Laxalt. There can be no accusations in terms of centralization if the decision is done by the same kind of peer review process that has become famous and respected in the world of science.

The interesting thing about the Chairman of the Endowment for the Humanities is that he does not personally approve or disapprove grants. We have an archive of about 5,000 consultants—the very best people we can find in linguistics, history, archaeology, all the other learned humanities, and some not so learned throughout the United States. Each year about a thousand of these people are activated; each

year hundreds of them come to Washington in order to pass on the merits of applications.

I think it can be said without any deviations that these hundreds of panelists who are recognized as the best there are, that these are the people who give us their recommendations, and that these recommendations are reconsidered by the National Council on the Humanities, a body of 26 citizens appointed by the President of the United States; and that these findings are the choices offered by the recommendation to the Chairman of the agency; so that in a way it is a source of pride for the chairman to acknowledge that the decision-making process is diffused, expert and objective, and indeed I know of no criticism among the constituency or the media attacking this system of peer review.

I can continue with some other aspects of changes if you wish, Senator.

Senator LAXALT. Again, I do not think so.

Doctor, in summary fashion again for my guidance and the guidance of colleagues who are going to ask me questions, what would you summarize to be your approach in the event you are renominated in the next few years?

Dr. BERMAN. Well, I think what we have to do is go after precisely that blend of public and private work that I have indicated would be my own goal. I see here no conflict either with the criticisms that have been raised here. It is entirely proper that the endowment should work pro bono publico. It is also proper that the endowment should support the very best in research and scholarship in order that the public work may be undergirded.

As far as specific grants, I think the endowment ought to have more than 1 or 2 hours of TV programming weekly it now has. It is altogether astonishing that averaging about an hour of programming a week over the last 3 years, we have consistently, year after year, brought up the No. 1 hits on public television. We have drawn the most people. Just 1 hour a week; that 1 hour a week included War and Peace, classic drama, Japanese film series, the Adams Family Chronicles, and so on. We have said we have horses, and now we would like to pull a somewhat larger wagon.

We would like to continue with the courses by newspaper to a lot of people who want to know something about the world they live in, and how directly they may affect its problems.

We would like to make fellowships more available. In general, we would like to expand our administrative staff assistance. One of the great unrecognized resources of the U.S. Government is the agency staff in itself.

There is not another group of people as good, as talented, as selfless as this. I think that investment has got to be protected and preserved. So in short, if I had to boil it down to two or three points, I would say we have got to keep the agency as useful as it is. It is useful as a great laboratory or hospital. We have to expand its expenditures in areas like public television and strive for input and improvement.

Senator LAXALT. Tell me on the basis of your experience in this particular position, are there any approaches that you took that you found through experience which should now be rejected in the event of renomination?

Dr. BERMAN. Could you be more specific about that?

Senator LAXALT. I wish I could. I am not familiar with the field. Just generally speaking, within the agency itself, were there approaches or directions that you took philosophically or otherwise that, through experience, you found to be invalid and which should now be rejected?

Dr. BERMAN. It is hard to think about that. I guess I am geared to thinking positively.

But I think that what we ought to have is more in-house review, staff committees, of new proposals, and an attempt to bring in outside experts when we develop new programs.

Sometimes we just stumble along, as with the American issues forum. It comes out successfully; but when you do something for the first time, it is very hard and you are apt to make mistakes.

My guess is in half a dozen program areas we are going to look very carefully at what we did and did not do before we go on to new ones.

Senator LAXALT. Fundamentally, your approach would be basically the same as it has been?

Dr. BERMAN. I think so.

Senator LAXALT. And seems to be fairly successful?

Dr. BERMAN. I think so.

Senator LAXALT. Mr. Chairman, that concludes my questions at this time.

The CHAIRMAN. Thank you.

Senator PELL. Thank you very much, Mr. Chairman.

I would like to turn now to the results of our recently completed conference on the reauthorizing of the arts and humanities programs.

Yesterday we filed a report on the conference, and our legislation contained new incentives for State participation in the humanities programs.

Apropos of the question of Senator Laxalt, concerning the direction I am advocating, it is to give more decisionmaking to the States and to let the Governors of the States play more of a role in setting up these Humanities Councils. This is one of the points of fundamental disagreement and approach which the Chairman has said in writing is wholly unacceptable to him.

Dr. BERMAN. I think a correction is in order, if I may.

It is not unacceptable to me. I think the compromise of the recent committee is excellent.

Senator PELL. I would ask unanimous consent to put in the record at this point the letter you addressed to Senator Williams concerning the administration's position on the bill.

Dr. BERMAN. I will be very happy to.

Senator PELL. Fine.

The letter is in the record.

Let the record speak for itself.

Dr. BERMAN. There are four stages to the record. There is the original position of the administration. There is the position of the National Council of the Humanities developing this. There is the conference between the House and the Senate. And there is now the final position in which, as I see it, everyone has concurred. There are no grounds right now for disbelieving that the House, Senate, and agency are absolutely in concord on the workability and desirability of this legislation.

Senator PELL. Let's just let the record stand.

Al Smith used to say, "Let's look at the record."

Let's leave your letter and Ms. Hanks' letter—it is a joint letter—are absolutely in concord on the workability and desirability of this time—you may have changed it—was wholly unacceptable.

The CHAIRMAN. That will be a part of the record.

[The letter referred to follows:]

## NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

WASHINGTON, D.C. 20506



July 29, 1976

Honorable Harrison A. Williams, Jr.  
Chairman, Committee on Labor  
and Public Welfare  
United States Senate  
Washington, D.C. 20510

Dear Mr. Chairman:

To assist in the work of the conferees, we are writing to express the Administration's views on S. 3440 and H.R. 12838, the Arts, Humanities, and Cultural Affairs Act of 1976 as passed by the Senate and the House.

This legislation would reauthorize the National Foundation on the Arts and the Humanities. In addition, it would provide, for the first time, for the establishment within the Foundation or HEW of certain specific program categories with separate authorization amounts. This letter will discuss these various proposals in turn.

Both bills provide for specific authorization levels that are in excess of the Administration's requested levels for Fiscal Year 1978 and authorize "such sums" for Fiscal Years 1979 and 1980. While neither bill exceeds the Administration's proposed authorizations for Fiscal Year 1978 for the basic unencumbered Foundation funding levels, when all the separate authorizations for Federal dollars are added, the House and Senate-passed bills exceed the Administration's proposed level by over \$40 million. The Administration has also consistently requested equal levels of funding for the two Endowments. We favor the authorization levels proposed by the Administration, stated in specific terms.

We are against the establishment of additional categorical authorities designed to provide support for specific cultural constituencies. Such authorities hinder the ability of the

Foundation to respond in a flexible way to the rapidly changing needs of the cultural community. They also run counter to the presently mandated system of policy formulation developed by the National Councils and panels of experts. This system has worked well in the past and has been responsive to the needs of the field and the wishes of the Congress as expressed in its oversight review.

The Administration continues to be opposed to the establishment of a Museum Services Institute because it does not believe a separate organization will best serve the interests of the museum field. Such an Institute is an unnecessary administrative structure which, in either version of the bill, would create difficulties both in terms of organization and lines of responsibility. In addition, the Administration is opposed to the provision for unlimited funding to match donations to the Institute.

We believe strongly that a Museum Services Institute, if established, should not reside in the National Foundation on the Arts and the Humanities. We recommend that the Committee consider deferring establishment of the Institute pending further study of its structure and placement.

Both versions would establish various challenge grant programs within both Endowments. The House version would establish a program within each Endowment to provide support to "cultural institutions in great need." The Senate version would establish a program similar to the House version within the Arts Endowment and would establish a "Bicentennial" challenge grant program, within the Humanities Endowment, tied to the "Bicentennial" of the Constitution.

The existing legislation for the Foundation already provides authority to carry out a challenge grant program in either Endowment. Thus, the establishment of these new special authorities is duplicative. However, we believe the House version would be preferable provided the program is split into separate programs, one for the Arts and one for the Humanities, each with its own name and identity and authorization.

Moreover, existing legislation already enables the Humanities Endowment to support Bicentennial-related activities. We are opposed to the establishment of a categorical authority in this area, and strongly believe that unrestricted challenge grants should be equally available to humanities and arts institutions.

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The Senate bill authorizes the establishment of an arts education program within the Arts Endowment to support teacher training, developmental activities and materials dissemination. The House version contains no comparable provision.

The education constituencies of the Foundation have many questions concerning this title. We, therefore, believe it requires further study and we recommend that it not be adopted.

The Senate version also contains an "American Bicentennial Photography and Film Project" and assigns the responsibility to carry this out to the National Endowment for the Arts. The substantive and technical problems in the Senate bill would make it impossible for the Arts Endowment to carry out the project on behalf of the Congress at the quality level requested. Therefore, we urge deletion of this provision.

S. 3440 contains a provision that would permit the Foundation to operate an independent program for disposal of excess and surplus Federal property. The Federal Property and Administrative Services Act of 1949, as amended, permits Federal agencies, under regulations of the General Services Administration, to make excess property available for use by grantees. The National Foundation on the Arts and the Humanities, therefore, is already authorized to make available to its grantees Federal excess property subject to the limitations imposed by regulations applicable to all Federal agencies. We believe that an effective Federal property program, including the utilization and disposition of excess property is dependent upon uniform administration as provided for by the Federal Property and Administrative Services Act. Additional statutory authorizations that would enable individual agencies to administer separate property programs would not be in the Government's interest. Consequently, we recommend against the provision in Section 106 of the Senate bill which would establish such a program in the Foundation and we urge that the House version be adopted.

Our final concern relates to the provisions of the Senate bill dealing with the State humanities programs. The Arts Endowment has no comment on the section. The Administration has not sought any amendment relating to these programs, and the parts of the Senate bill which relate to State humanities committees and State humanities agencies are wholly unacceptable to the Humanities Endowment. Despite a late amendment which appears to offer the possibility of the volunteer State committees continuing, the Senate legislation clearly

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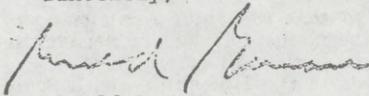
intends that they be replaced by State agencies within, at most, three years. It permits no humanities program to operate except through the intermediacy of the Governor of each State.

All witnesses from the humanistic community have indicated that the Senate provisions are inappropriate and inoperable; furthermore there is no State on record as supporting the proposed change. The House bill on the other hand, provides strict guidelines for the conduct of State programs; and, these granted, it makes possible the continuation of volunteer State committees or the establishing of State humanities agencies where that may prove advisable. The Humanities Endowment strongly prefers the House version in this regard.

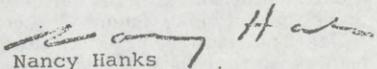
We share the objective of the conferees that sound, effective authorizing legislation be enacted for the Foundation, and urge that the objectionable provisions we have cited be deleted in the legislation that reaches the President's desk. Should they be retained, we would seriously consider recommending to the President that he not seek appropriations to implement them.

The Office of Management and Budget has advised that there is no objection to the presentation of these views from the standpoint of the Administration's program.

Sincerely,



Ronald Berman  
Chairman  
National Endowment for  
the Humanities



Nancy Hanks  
Chairman  
National Endowment for  
the Arts

cc: Honorable Jacob K. Javits

Senator PELL. Thank you very much.

Copies of this are available here.

As I feel you know, the State entities, whatever they may be, must be concerned with the whole broad spectrum of humanities, not any longer just with issues of public policy. This is one of the changes we have made.

To me it is an important part of this conference agreement.

I would like your reaction.

Do you think there is an improvement, or do you accept it----

Dr. BERMAN. I think it is an improvement. I agree with it implicitly and will do my best to work it out.

Senator PELL. I am very glad.

I would like to read here for a moment, if I may, the paragraphs that are in the conference report, agreed to by all the conferees, minority, majority, Senate and House.

It says:

The purpose of the Conference Agreement is to encourage and stimulate the development of a Federal-State partnership in the broad cultural areas of the Humanities, so that this partnership may be increasingly beneficial to our people in each State.

The Conferees have taken note of the dramatic growth of the Federal-State partnership with respect to the programs of the National Endowment for the Arts, exemplified by a 15-fold increase in annual State funding for the Arts in ten years—from \$4 million to \$60 million—and by the development of more than 1,000 community arts councils.

The Conferees agreement envisages the development of similar challenges and opportunities for the Humanities Endowment.

The Chairman of the National Endowment for the Humanities is directed to help encourage State participation and to work more closely than in the past with State governments and State officials, so that the values, particular to the Humanities, can gain better entrance to the mainstream of our democratic processes and make a more vital contribution to American life.

The Chairman is urged to study State needs in the Humanities with State leaders, so that these needs can be met in the broadest sense, through programs representing the full scope of the Humanities, and through programs which will be addressed to a multiplicity and variety of worthwhile projects.

It is the position of the Conference that the 20 percent of the total funding allocated to the States is of deep importance in bringing the values of both the Arts and the Humanities into local communities and to groups whose needs may be relatively modest, but who have potentially great significance.

Now, the basic thrust of the Senate-passed legislation was the States themselves should decide what programs they desire and were most needed.

The conference agreement gives the States an incentive to participate in such a choice. In other words, we were not satisfied with the previous approach of the Chairman and of the Council.

Now, I would like the reaction of the Chairman to this conference language which obviously suggests that things have not been going quite as they should in the past.

Dr. BERMAN. I am not sure that that is the implication of that language at all.

As far as the implication of making changes, we are entirely willing to go along and cooperate. I think it will be a good idea. We would be honored to work out those provisions.

However, making a change does not always mean that there has been dissatisfaction. My acquaintance, indeed, with members of the conference committee, especially on the House side, has led me to observe that there were few criticisms.

Senator PELL. Again, we will let the record speak for itself and the language in the conference report, which we filed yesterday.

These statements are in the record because I read them into it.

I want to stress for the benefit of those who may have the erroneous impression of my proposals is that only 20 percent of the total funding is involved for State programs. So we are now talking about only 20 percent, not the 80 percent that comes out of the national program, but at this point, I want to focus on the statement I read. How would you encourage State involvement when State involvement is the very thing to which you strongly objected?

Dr. BERMAN. I do not believe, Senator, it would be accurate to say I have objected to State involvement. The very nature of the program has involved thousands of communities and people so far that can hardly be construed as rejection.

I think the difference is between procedures.

Senator PELL. I think, at least from what I read of the general understanding of the Endowment position, it is that you are very concerned that this money will fall into the hands of political hacks and be disposed of by Governors and things of that sort.

Yet this is the way money gets spent on the local level. Surely, not all Governors are political hacks. Not all the people they appoint are political hacks.

Dr. BERMAN. I certainly agree with that. We have no difficulty at all with the legislation. We are happy to work with everybody in the State including the Governors.

Senator PELL. I would interrupt here to say that the Chairman has fought this very vigorously so that these appointments would not be made by the Governor, and the Governors would not have a role. This is part of what the whole argument is about.

Dr. BERMAN. I think if I might give some information on that, I have not fought vigorously any representation by the Governors. I have, in consultation with Senator Javits and others over the past years, talked over ways and procedures in which everyone in the State, including the Governor, might be represented in these State bodies. I have never at any time said that the Governors ought to be restrained or restricted from participation.

Senator PELL. As I said, we have already inserted in the record your statement which says that the compromise Senator Javits worked out was wholly unacceptable.

Now, I realize time has moved along, and it is more acceptable.

I will read the pertinent paragraph which has been drawn to my attention:

The Senate legislation clearly intends that they be replaced by State agencies within, at most, 3 years. It permits no humanities program to operate except through the intermediacy of the Governor of each State.

I do not see what is wrong with that. This is part of the—

Senator LAXALT. This is out of context. Somehow I am not following this.

Senator PELL. Read it.

Senator LAXALT. I understand what you read.

Dr. Berman, what is your position in connection with working with the respective Governors in the State programs? Is there a problem?

Dr. BERMAN. The position is very loud and clear, that we entirely approve, the agency, I as chairman, if my words are worth anything,

as compared to decisions of the House and the Senate, but I entirely approve the intention and the letter of the conference legislation. I see no difficulties in working with them. I think participation is adequately taken care of, so there can be no conflict between the new set of authorization, my own attitude, and the work of the agency.

Senator LAXALT. Has there been a conflict in the past?

Dr. BERMAN. No; there has not.

Now, a position developing over the past year has led to this compromise. But that position may as well be ascribed to Members of the Senate, Members of the House, National Council on Humanities, constituents, State Governors, our own State based committees and ourselves. I do not see why I should be singled out from among that group as being putatively unwilling to agree with the compromise. I agree with you as to the extent of all sides—in fact, I have more of a stake in agreeing with it.

Senator PELL. I would like to read one sentence here from your letter:

The administration has not sought any amendment relating to these programs, and the parts of the Senate bill which relate to State humanities committees and State humanities agencies are wholly unacceptable to the Humanities Endowment.

Senator JAVITS. If I may have a moment, since my name has been mentioned so frequently in this connection. I did work out the compromise, and I did go a good deal of the way in getting the State political agencies into this situation. I think it started with a conviction by the humanities councils of the States that they did not wish to have a political relationship, to wit, they felt that the Governors should not be appointing some of their members. And many came to see me on precisely that issue.

I think other members of this committee have the strong feeling that the Humanities Endowment would be better off if it continued on the route that it had pursued, which was the organization of State councils essentially under the inspiration and aegis of the Endowment itself.

In that direction it went different from the Arts. But that is the way it worked out.

Now, we felt that some compromise was essential in this matter. While we could not necessarily have the same system for the Humanities as we had for the Arts, we could have some blending of the two systems. By process of negotiation and debate, that outcome has resulted. I believe in all fairness to Dr. Berman that he is thoroughly in accord with that solution, having started as maintaining the humanities councils as they were; and Senator Pell having started as trying to bring humanities councils into the same condition that the arts councils have been.

Senator Pell has compromised and Dr. Berman has compromised. Probably it is a very good compromise because both have accepted it and are content with it.

Frankly, I do not think that it bears upon Dr. Berman's confirmation, or lack of it, because he felt deeply convinced that his view on the State humanities councils was right; that he realized over a period of debate and time that you cannot be quite as strong as that about your own convictions in this business we are all in. And he saw

fit to modify his views. I think he quite firmly and in perfect good faith accepts the way it is now, and he will run it well.

That is why I have been in favor of his confirmation. Because I think he will run it well. I am not challenging that.

But I think it is perfectly fair for Senator Pell to trace the distance from which Dr. Berman has come and to challenge his original judgment. That is perfectly fair debate, which is our purpose here. That is the situation as I see it.

If I am wrong, I hope that Senator Pell and Dr. Berman will correct me. But I gladly admit that I was the central point in trying to work out this compromise. I think it is a good compromise and apparently they do, too.

I do think there is no questioning that he will run it fairly and right, if he is entrusted with that responsibility.

Senator LAXALT. Will the Senator yield for a question?

Senator JAVITS. Yes.

Senator LAXALT. Under the terms of the compromise, what is the relationship of the Governors' offices to the Endowment now?

Senator JAVITS. Dr. Berman can please correct me if I am wrong. Governors have a say, depending upon whether they wish to assert it. No State humanities council is going to turn its back on the Governor if he wants to do anything about it; but Governors have not been invited participants in the past.

Senator LAXALT. Not normally in the process?

Senator JAVITS. Not been invited in. Under the new compromise he gets two members regardless; and the Governor gets half the appointments if the State meets the qualifications of demonstrating interest and effort through making available matching funds. That is the way it will be under the new law. It will work very well. But I do not think that any Governor who wanted to have anything to do with it was excluded or shut out.

Senator LAXALT. Dr. Berman, you have not been disinclined to have the States be involved in the whole course of this. You have been disinclined, I gather, initially, to perhaps politicize the process in normally bringing in Governors' offices. Is that a correct characterization of where we are?

Dr. BERMAN. You and Senator Javits have hit the nail on the head with that.

Senator JAVITS. This is one thing that needs to be emphasized. I have been in this very deeply and I have questioned him a lot.

The issue before us is simply this: Has Dr. Berman run the endowment in such a way as to permit our support for his continuance in the administration?

I believe that there are some really significant achievements in the endowment now. Barnaby Keeney was a fine man who started this thing, got it off the ground. I think Dr. Berman, about whom I had very considerable doubts to begin with myself, has handled it very creditably and has had some very exciting breakthroughs, among them the very luminous Adams Chronicles, which has been a sensation for the country.

I think he has earned this reappointment. That I think is really the issue and that is why I have listened with such care and tried to give as much as possible to the development of that issue from Senator Pell's point of view as he saw it.

I think we have to listen and appraise. Time is fleeting, and we have gone into this pretty deeply. I think that the time has come to vote. But I certainly have understood Senator Pell's questions.

Thank you.

Senator PELL. I would add that there is a good deal more information that should be developed here. There is a question perhaps of interpretation, but more than any of my colleagues, I think I have been involved with the humanities side since it started; and I have always had a bit of a problem on this, because your predecessors were not enthusiastic either about letting Governors get into the act.

But my own reaction over these last few years is—I do not mean to kick a dead horse; and we can drop it after this—that you have really fought hard, as reflecting your view, tooth and nail to prevent the Governors' offices, the so-called politicization from getting into this in the same way they do in the arts.

You were a Governor, Senator Laxalt; you played a role in the appointment of your arts council in your State. You played none in the humanities. This is what I want to see happen and what the chairman opposed.

Dr. BERMAN. May I say something?

Senator PELL. Certainly.

Dr. BERMAN. It would be accurate, I think, in those terms, to say that my very esteemed predecessor, began and elaborated the program which could be characterized in the terms you have just used. It would have to be I think stated that I found this program, took it, developed it, and will change it according to the authorizing legislation upon which we have compromised.

So there would be a significant difference between the way my predecessors handled this and the current way that I am doing it.

Senator PELL. In connection with the authorizing legislation, what instructions do you think should be given to the State committees so that they will encourage State participation, State government participation in accordance with the legislation?

Some of these State committees have been excited—I do not know from whence—that they might lose their jobs and the heavens would fall in on them.

How will they now be encouraged to cooperate with the Governors and with the new setup that is authorized?

Dr. BERMAN. I think we are going to have to start from the principle that they must do exactly as you have just suggested. We are also going to have to face the fact that the legislation is only a matter of days and weeks old, and that the correct procedures have yet to be established by us.

We have to direct them to cooperate, to identify mutual interests, to disseminate humanities and to allow State participation.

After that, I think procedures will come.

Senator PELL. How would you yourself encourage State participation? You must have a top of the head reaction to that question.

Dr. BERMAN. I almost never have top of head reactions to large things like this, Senator. I think it has to be done through detailed study. Some of the things you have suggested strike me as being quite valuable. I want to look into the arts councils and the community councils you have suggested.

I think we have to talk more with Governors' offices; we have to build tremendous substructures to carry the reforms that have to be made.

The first job is to investigate to find out the facts.

Senator PELL. Would you submit for the record your further thoughts on this matter?

Dr. BERMAN. I certainly will.

[The information referred to follows:]

Statement of Chairman Berman  
pertaining to the implementation of the new legislation

As it pertains to state humanities programs, the new legislation is innovative and significant in a number of ways:

1. It is the most substantive and extensive change in NEH legislative authority since the Endowment's establishment in 1966.
2. It constitutes a radically new approach to Federal-state relationships.
3. Rather than prescribing or mandating a particular pattern of activity in the various states, it offers each state government an opportunity to decide the extent to which it wishes to share in the support and the direction of Federal assistance for the humanities.

As the conference report makes clear, how the humanities develop and how their support is structured in a particular state will be determined not by Washington but by the citizens and government in that state. The requirements on a state government are few; the directions it may choose to go in are many; and even should it choose not to fully share in the decision-making process, the entity within the state which may receive Federal funding will be completely independent to map out its own program.

At the same time it is clear from the discussions in the House-Senate conference and from the actual language of the new amendment that the intent of the new legislation is not to eliminate the NEH state-based programs now operating in each state, but rather to build on them, to augment their activities, to make their reach and impact deeper and broader in their state, and to relate them more closely to the state government, where a state government so wishes. I believe that the great accomplishments of the state-based programs within the very short period of their operations provides an excellent foundation for the kinds of developments projected by the Congress:

- State-based efforts have had the broad public as their sole target (rather than those already involved in the humanities);
- they have pursued utility of the humanities to the citizens as their sole mission (rather than scholarly research or formal educational programs);
- they have involved diverse sectors of the population -- labor, business, professional societies, civic organizations, ethnic groups -- both on the committees and in the local projects supported by regranted funds; and
- an increasingly larger proportion of the population outside of the academic world has come to know about and to demand more from the humanities.

The base laid by state-based groups will, I think, now help attract greater public attention to the course to be considered and elected by the citizens of each state and will help assure that the intent of the legislation -- extension of the humanities to all walks of life and to all aspects of the general citizen's concerns -- as well as the letter of the law will be effectively implemented.

As can be appreciated, the very innovative nature of the new legislation plus the need to consult with the individual states prevents me from specifying at this point the precise steps which the Endowment, as a Federal agency, should take and the specific guidelines which should be developed in carrying out the amendment.

Obviously, the first step will be to consult with the National Council on the Humanities, which is charged by law with advising the Chairman about Endowment policies, programs and procedures as well as action on grant applications. While the various proposals contained in the original House and Senate bills were studied in depth by the Council, it has not had any opportunity to consider the compromise produced by the conference. Indeed, no one in the Endowment or Council -- nor, I believe, in the either house of the Congress -- had earlier anticipated the wholly new kind of approach to Federal-State relations now contained in the conference bill. The speed with which the final resolution was developed was as breath-taking as the pioneering nature of the approach incorporated in the resolution. Accordingly, I am moving to place the item of the state programs on the Council agenda at its very next meeting in order to initiate the necessary process of Council consideration and advice.

While I should not anticipate the form or content of Council guidance, I might note at this time that some specific future actions are implied by the conference report and will be at the center of our work during the coming months:

1. Notification to the proper authorities in each state about the provisions of the new amendment.
2. Development of guidance for the present state-based committees regarding the requirements of the legislation and the directions of the conference report about their programming and membership.
3. Preparation of guidelines, pending a final decision by the governors and legislatures about the extent of their participation, to assure provision for the appointment of the minimum of two state designees to each committee.
4. Consideration, in conference with Governors' representatives and existing Committee chairmen, of how the study of needs in each state, called for in the conference report, may best be undertaken and how Federal funds may be most usefully employed for this purpose.
5. Consultation with the appropriations committees in the House and Senate as to how the FY 1977 appropriation for state-based programs may be used to assure the continued flow of Federal assistance, as the appropriate state groups move to comply with the requirements of the new legislation.

The new legislation is a broad challenge -- to the Endowment, the National Council, state governments, the state-based committees, humanists, and humanities organizations in the states -- not only to create a more effective network to strengthen citizens' participation in the humanities but also to pioneer a profoundly important approach to American federalism. The new legislation offers an exciting opportunity for both the Endowment as an agency and for me as its Chairman. I pledge my most sincere and energetic efforts towards making this opportunity a success.

Senator PELL. Thank you very much.

Would you provide funds to conduct studies of State needs?

Dr. BERMAN. Oh, yes.

Senator PELL. Now, one of the major benefits of State involvement in either the arts or humanities is to my mind the fact that it creates a balance between the Federal Government and the States. The State art agencies owe their basic allegiance to the State involved, and the Humanities committees owe their allegiance to the Endowment in Washington.

Do you think we can change this balance in accordance with this legislation under your leadership?

Dr. BERMAN. Very, very difficult to say. I would hope that nobody owes allegiance anywhere. I do not want them to feel that there is a centrist administration in Washington, nor do I wish them to be attached to centers of power which, if fragmentary, still exist in State capitals.

I think they have to be true to themselves.

Senator PELL. Thank you.

One of the things that concerned me, and concerned me with the possibility of your reappointment, is the idea that one man would be in this position for a very long period of time exercising a rather strong-handed—you have a strong personality—conforming guidance to the Humanities across the country.

One of the benefits of having State committees set up with their own independent organizations, formed by Governors, is that they provide balance. Nancy Hanks has 50—and I will not call them opponents or antagonists, but adversaries in a way in each of the States; and you have 50 allies; and in the course of these hearings, many of those councils—

Dr. BERMAN. If I can say that I certainly think the thrust of what you say is true and sensible. We do not want centrist control and at the same time we do wish these organizations to have some particular sense of what they do.

I do not see how centrism could be deduced from a single reappointment. The law after all provides for such an appointment and we are all proceeding by the provisions of the law.

Senator PELL. I would like to turn now to a report which was prepared at my request by the GAO, General Accounting Office. It was completed last February on the National Endowment for the Humanities and resulted from a 2-month study of the Endowment.

There is a letter of transmittal to me from Comptroller General Staats, which says in part:

In your letter you recognize that because of the limited time we would not be able to provide you a complete assessment of the overall effectiveness of the Endowment, nor verify all the information the Endowment provided us.

On the basis of that report, I could have insisted on further studies of greater depth, and that still remains possible.

However, I chose not to escalate a confrontation by seeming perhaps to use prerogatives which could be misinterpreted at the time or to defer action on the matters which we were considering.

Now, Mr. Chairman, I would like to make this report public and ask the GAO report be included in the record at this point.

[The report referred to follows:]



*REPORT OF THE  
COMPTROLLER GENERAL  
OF THE UNITED STATES*

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Certain Information  
Pertaining To Selected  
Aspects Of The Operations  
Of The National Endowment  
For The Humanities

National Endowment for the Humanities  
National Foundation on the Arts and  
the Humanities

GGD-76-56

FEB. 13, 1976



COMPTROLLER GENERAL OF THE UNITED STATES  
WASHINGTON, D.C. 20548

B-158811

The Honorable Claiborne Pell, Chairman  
Special Subcommittee on Arts and  
Humanities  
Committee on Labor and Public Welfare  
United States Senate

Dear Mr. Chairman:

This report on the National Endowment for the Humanities is provided in response to your November 19, 1975, request. We previously furnished the Subcommittee an inventory of fiscal year 1975 grants and a list of the members, including limited background information, of the State-based Humanities Committees.

Information pertaining to the following areas you asked us to review is included as an appendix to this report.

1. Accountability for Endowment resources in Washington including priorities, goals, and strategy for awarding grants; procedures for recording and controlling disbursements and matching funds; and procedures for monitoring and evaluating ongoing grants.
2. Accountability by the State-based Humanities Committees for reports submitted to the Endowment; Endowment evaluation, approval, and use of committees' grant proposals and related reports; sanctions imposed on committees by the Endowment for compliance failure; committees' roles in the budget process; and bylaws and governing procedures, including terms of service and provisions to prevent malpractice.

The information in appendix I was discussed with the Endowment's chairman.

In your letter you recognized that because of limited time, we would not be able to provide you a complete assessment of the overall effectiveness of the Endowment, nor verify all the information the Endowment provided us.

B-158811

Our work was done at the Endowment's office in Washington, D.C.; State-based Humanities Committees in Baltimore, Maryland; and Charlottesville, Virginia.

Sincerely yours,

*Allen R. Stearns*

Comptroller General  
of the United States

NATIONAL ENDOWMENT FOR THE HUMANITIESBACKGROUND

The National Endowment for the Humanities (NEH) was created in 1965 as a result of congressional concern that the U.S. position of world leadership be based on achievement "in the realm of ideas and of the spirit," as well as on "superior power, wealth, and technology."

The National Foundation on the Arts and the Humanities Act of 1965 (20 U.S.C. 951) established the National Foundation on the Arts and the Humanities, which consists of the National Endowment for the Arts as well as NEH. The two endowments are essentially autonomous and have separate program budgets, although a shared staff is used for administrative functions. NEH is directed by a Chairman, who is assisted by a National Council on the Humanities composed of 26 distinguished private citizens appointed by the President. The NEH Chairman also serves as Chairman of the National Council.

In the authorizing act, the Congress set forth a Declaration of Purpose. The declaration, as it relates to the humanities, states in part:

The encouragement and support of national progress and scholarship in the humanities is an appropriate matter for Federal concern.

A high civilization must give full value and support to man's scholarly and cultural activity in addition to science and technology.

Democracy demands wisdom and vision in its citizens and it must therefore foster and support a form of education designed to make men masters of their technology and not its unthinking servant.

It is necessary and appropriate for the Federal Government to assist humanities programs conducted by local and State organizations and by private agencies.

It is appropriate for the Federal Government to sustain a climate encouraging freedom of thought and the material conditions facilitating the release of creative talent in the humanities.

The world leadership which has come to the United States must be founded upon worldwide respect for the Nation's high qualities as a leader in the realm of ideas and of the spirit.

In order to implement these findings, it is desirable to establish the National Endowment for the Humanities.

As defined by the act, the term "humanities" includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archeology; comparative religion; ethics; the history, criticism, theory, and practice of the arts; 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.

Specifically, NEH has been authorized to

- develop and encourage the pursuit of a national policy for promoting progress and scholarship in the humanities;
- initiate and support research and programs to strengthen the U.S. teaching potential in the humanities by arranging (including contracts, grants, loans, and other assistance) with individuals or groups to support such activities;
- award fellowships and grants to institutions or individuals for training and workshops in the humanities;
- foster the interchange of information in the humanities;
- foster, through grants or other arrangements with groups, education in, and public understanding and appreciation of, the humanities; and
- support a publication of scholarly works in the humanities.

The Chairman, in commenting on NEH's priorities and goals, stated that the emphasis has changed during the last 4 years. He stated that previous programs were generally

focused on professionals in the humanities field, in order to create, develop, and preserve knowledge. However, the objectives of NEH have now been expanded to include transferring and disseminating knowledge to the public.

#### GRANT FUNDS

NEH's appropriation for fiscal year 1975 was \$67.25 million in definite program funds and \$6.5 million in matching funds. These funds are granted to individuals, groups, educational institutions, and other organizations through four divisions--Public Programs, Education Programs, Fellowships and Stipends, and Research Grants and the Office of Planning. These NEH organizational units are responsible for administering specific programs, usually directed at a particular kind of activity of the humanities. Schedule I is a summary of NEH fiscal year 1975 grant awards including selected statistics.

The total amounts of the grants initially awarded in fiscal year 1975 to individuals, groups, educational institutions, and other organizations varied considerably from State to State. For example, initial grant recipients in Arkansas received \$74,000, while those in New York received \$14.7 million. Some of the grants to groups, educational institutions, and other organizations may be redistributed to similar entities within or outside the State.

Individual grants ranged from \$334 for a General Research Program grant to \$2.76 million for a Humanities Institutes Program grant. NEH calculated that \$28.9 million (49 percent) of its total fiscal year 1974 grants went directly to higher educational institutions and their faculties.

Of the 1,330 grants awarded in fiscal year 1975, 944 (71.0 percent) went to colleges and universities for use by their faculties or for other persons and organizations; 323 (24.3 percent) went to other individuals or institutions; and 63 (4.7 percent) went to State-based Humanities Committees.

#### PROGRAM MANAGEMENT

Procedures used in managing programs vary; however, most efforts in all divisions and the Office of Planning are concerned with the grant application review and award process. This process for the NEH State-based Program is included in our discussion on the State-based Humanities Committees beginning on page 8.

Grant process

We reviewed selected aspects of the process. Upon receipt, program staff review the grant application to determine if it is complete and within the general scope of the program. Persons not affiliated with NEH are then selected in most cases to evaluate the application based on NEH criteria.

Thereafter, the applications, including the evaluators' comments, are sent to panelists employed as consultants by NEH. The panelists meet to discuss their evaluations with NEH. Each panelist is usually paid about \$300 (4 days at \$75) for his or her services, plus travel expenses. From one to four panel meetings per year are held, depending on the program.

At these meetings, each application is discussed and evaluated, and a consensus is reached on priorities for funding as to which grants should be approved. According to NEH, summaries of all applications are sent to all National Council members, and panel recommendations are summarized and forwarded to National Council committees which usually agree with the recommendations. The committees' recommendations are listed separately by grant approval or rejection and then submitted to all National Council members. The members vote on each approval and rejection list, rather than voting on each grant separately. These lists are subject to revision based on discussions by National Council members.

The extent of NEH evaluations, opinions, and judgments concerning grant applications varies by program. Program staff are generally responsible for organizing and administering the application review process. One official stated that about 80 percent of his division's time is spent for this purpose.

Grantee final expenditure and narrative reports

The National Foundation's general grant provisions require grantees to submit final expenditure and narrative reports 90 days after the grant period ends. In a letter of August 15, 1974, to the chairmen of the endowments, we observed that within NEH, 60 grantees were late in submitting final expenditure reports and 93 were late in submitting final narrative reports.

As of December 10, 1975, 273 grantees were late in submitting final expenditure reports, of which 47 had been late over 12 months. Concerning narrative reports, 291 were late of which 70 had been late over 12 months.

The National Foundation's Grants Office is responsible for the fiscal aspects of NEH grant management and acts as a staff advisor to NEH on grant policy and related matters. In most cases, the Grants Office drafts a notification to the delinquent grantee. The notification is prepared in final by the appropriate division or the Office of Planning. The notifications we examined were usually standard letters which we believe did not sufficiently emphasize the grantees' responsibilities for submitting these reports.

According to NEH officials, grantees in almost all cases must receive their full grant payments in order to carry out the conditions of their grants before submitting the required final reports; therefore, NEH cannot withhold funds if the grantees do not submit the required reports. However, the Grants Office will withhold payments on future grants if grantees are late in reporting on completed grants. At the time of our review, NEH had withheld payments to about 74 grantees.

Other matters we observed regarding delinquent reports included:

- A list of grantees late in submitting reports is prepared only once a year; thus, some grantees' reports may be delinquent for almost a year before NEH takes action.
- Followup action on reports was shared between the Grants Office and the appropriate division or the Office of Planning, which can result in delays before the grantees are notified that reports are late.

#### Financial audits of grantees

The National Foundation issued an audit policy statement in December 1973 as required by the General Services Administration's Federal Management Circular 73-2. The National Foundation's Audit Division is responsible for auditing grantees of both endowments. The Audit Division has not prepared an adequate audit plan as required by the circular.

The policy statement requires that grants to be audited will be selected on the basis of a 12-item priority list. The Audit Divisions said that because of staffing limitations, as of December 1975, it had only been able to make audits under one of the priority items--requests for audit of specific grants.

In fiscal years 1974 and 1975, the Audit Division issued six reports which involved NEH grantees. Four of these reports contained audit recommendations, some of which had not been acted on 1 year or more later. The report cited questionable costs totaling \$28,300.

#### Cash management

The Department of the Treasury requires the Foundation, in accordance with Department Circular No. 1075, not to advance a grantee cash in an amount greater than that needed for a 1-month period. For NEH grants of \$100,000 or less, the Department has approved a continuing waiver providing that advances on grants be made at least on a quarterly basis.

The Department requires that a letter of credit be used when a grant advance aggregates more than \$250,000 annually. National Foundation officials informed us that letter of credit arrangements have not previously been used by either endowment, but are being established for a university at its request. We were further informed that for both endowments, about 75 grantees might be eligible for the letters of credit.

NEH grant provisions state the grantees must assure that payments requested do not exceed the reasonably anticipated cash needs of the grantee/subgrantee. Further, in the case of grants for \$100,000 or more, the amount requested may not exceed that required for a 30-day period.

We examined 10 NEH grants awarded for over \$100,000. In almost all cases, NEH, for various monthly periods, had advanced funds to grantees in amounts exceeding the grantee's estimated monthly cash requirements; thus, theoretically, if not actually, causing the Government to incur unnecessary interest costs for borrowings beyond actual need. For example, one grantee was advanced \$100,000 on June 23, 1975, against a total grant of \$280,000, and as of January 1, 1976, NEH's grant file indicated that the grantee has not submitted an expenditure report nor cash request.

since that date. It follows, therefore, that the grantee was advanced considerably more cash than needed for a 1-month period.

NEH informed us that it relies on the assurance of the grantee that his or her monthly cash requirement is reasonable. One means available for NEH to evaluate and measure the reasonableness of a grantee's monthly cash requirement request would be to require--for grants over \$100,000--the grantee to submit (1) an estimated itemized monthly budget for the grant period and (2) an itemized monthly expenditure report.

Other matters we observed regarding cash advances included:

--One grantee received a \$30,000 advance as a result of a telephone conversation. NEH had no requirement that a written justification be prepared. Also, one grantee received a \$45,000 advance he had not requested.

--One grantee requested and received a \$100,000 advance. The following month, an additional \$50,000 advance was approved, although the cumulative expenditures reported by the grantee showed that no use had yet been made of the \$100,000 advanced. No information in the file explained the approval of the \$50,000.

--Two grantees each received a duplicate cash advance.

#### Program evaluation

NEH's evaluation program was initiated in mid-1973 and became fully operational in September 1974. Also, NEH requires that grantees include a self-evaluation in their final report. Before mid-1973, a few small program evaluations were done on an ad hoc basis by NEH.

The program consists of three types of studies:

--The divisions and Office of Planning prepare selected grant evaluations under the guidance of the NEH Evaluation Officer. Evaluations are presented and discussed at the National Council Committee meetings. Since August 1973, 65 such grant evaluations have been prepared and presented.

--The NEH Evaluation Officer, sometimes with the assistance of outside contractors and scholars, makes program studies in order to compare program objectives with accomplishments, assess program impact, and indicate necessary modifications. Since May 1974, two program evaluation studies have been completed and presented to the National Council. One concerned continuing Education Project Program grants awarded to one grantee for the purpose of improving teaching of humanities in secondary schools; the other concerned Youth Program grants which offer young people an opportunity to explore their own interests in the humanities and to enlarge their education and social experiences. At the time of our review, the Evaluation Officer was working on several other program evaluations, including the State-based Program which is expected to be completed by the end of February 1976.

--A Planning and Analytical Studies unit was formally established in November 1975 to determine more systematically (1) the nature and extent of national needs in the humanities to which NEH should give attention and (2) the impact of current NEH policies and programs on these needs.

In addition to these formal evaluations, two divisions hold an annual evaluation conference with grantees in one of their programs. The divisions and the Office of Planning usually receive only one narrative report from a grantee (upon grant completion), with the exception of multiyear grants for which periodic reports are received. NEH monitoring during the grant period consists of (1) phone conversations and correspondence between personnel of the divisions and Office of Planning and the grantees and (2) site visits to a limited number of grantees.

#### STATE-BASED HUMANITIES COMMITTEES

The State-based Program was initiated by NEH in 1970 when individuals in six States were brought together to plan and initiate State-based programs which would make the public aware that the humanities have valuable uses in the discussion of many issues. Each State has a humanities committee which implements this program.

Membership

NEH said each State-based Program was initiated by a committee of four or five individuals selected by NEH from numerous sources, including referrals by individuals and organizations within each State. We obtained NEH criteria and examined records concerning the procedures used to select the original committee members in three States. We noted that a search, mainly by telephone, was conducted, but the files did not contain the specific reasons for selecting each member. Committee membership has increased as was required by NEH. Current membership ranges from 11 to 25, as compared to the original four or five.

NEH requires committees to establish membership rotation procedures. Our review of selected committees' bylaws showed that they contained such provisions.

NEH requires an equitable distribution of members among professional humanists, public administrators, and other private citizens. NEH has added specific conditions to some committee grant award letters, in order to bring about this distribution. For 12 committees we obtained information on the aggregate membership including 68 professional humanists, 71 public administrators, and 78 other private citizens--about 31 percent, 33 percent, and 36 percent, respectively.

Each committee is staffed by an executive director responsible for the day-to-day activities and administration of the program. According to NEH, the executive director usually has an academic background in the humanities. The executive directors are paid an average of about \$18,000 annually.

In Alaska and New York, directors are paid \$29,500 and \$25,000, respectively. Program officials stated that these salaries are not determined by NEH and are higher than the average due to cost-of-living differences in those areas. By comparison the Civil Service Commission has a cost-of-living differential of 22.5 percent for Alaska but has no such differential for New York, because allowances are given for areas outside the continental United States. Also, under NEH policy, executive directors are eligible, contingent on committee approval, for a 3-month sabbatical leave with pay after serving 3 years.

A National Foundation official said in regard to these matters that no Federal regulations, NEH policies, or guidelines concern the conditions of employment of individuals by the committees. However, NEH informed us that established committees' executive directors are hired competitively. In one State visited, the executive director said she was selected after being nominated and interviewed along with several others by committee members. In the other State visited, the executive director is a Ph.D. candidate at the same university as the chairman of the committee.

At the time of our review, committees did not have a major role in NEH's budget process. The NEH chairman indicated that he has recognized the need for more participation by committees in overall NEH activities. He said a committee chairman may be appointed by the President to the National Council. Additionally, an advisory committee of eight persons was selected by the chairmen of the State-based Humanities Committees from their memberships to advise NEH.

The NEH chairman believes these actions would provide the committees with adequate voice in NEH activities. The advisory committee developed the State-based Program Principles and Standards, which NEH now uses to provide basic guidance for operating State-based programs.

#### Evaluation and approval of grant proposals

NEH provides committees with a "Suggested Outline for State-Based Proposals" which allows each committee freedom in developing its program. Each committee proposal is reviewed by the National Foundation's Grant Office, NEH's division program office, and non-NEH personnel who are not paid.

According to NEH, non-NEH personnel (evaluators) have the major role in the evaluation process. NEH maintains an expanding list of persons used to evaluate State-based Program grant proposals. Currently, 118 evaluators are listed. They generally include professional humanists, such as professors at universities, and many other professionals.

Three evaluators, who do not evaluate their own State-based Program proposal, comment on each proposal based on NEH criteria. NEH summarizes the comments and submits them to the National Council. We examined the proposal evaluations for eight States. Some evaluations did not adequately

address NEH criteria. Also, several evaluators mentioned the vagueness of the proposals.

Little mention, if any, was made in the evaluations regarding proposed budgets although several evaluators did comment that they could not adequately evaluate budgetary information. For fiscal year 1976, we compared the grant amounts requested with the amounts awarded for 10 committees to determine the extent to which committees received their full requests. Our comparison showed that four received the amount requested, two received more, and four received less.

The State-based Program grant proposal also summarizes the prior year's activities, including a list of committee-awarded grants. This summary is accepted by NEH in lieu of the normally required final narrative report. The summary, however, is actually not a final report on prior year's activities, because not all grant projects have been completed. NEH said no other reporting is required of the committees because their staffs have limited available time for preparing reports. Therefore, five State-based Program personnel each maintain close liaison with 10 committees, including site visits at least twice a year.

We examined seven summaries and noted an inconsistency in the information provided. The Division of Public Programs Director and one Assistant Director for State-based Programs agreed with our observation that some needed information, such as attendance at the projects and the number of times staff or committee members visited the projects, was not always included in the summaries and that when included was not necessarily in easily retrievable form.

We believe committees grant proposals for the coming year and the summaries of the prior year's activities might better serve NEH if more specific guidelines concerning content were provided. NEH should consult with the committees in developing these guidelines. Further, NEH should consider requiring a final report on each committee's fiscal year activities when all grant projects have been completed.

#### Fiscal accountability

NEH obligated about 19 percent of its fiscal year 1975 financial resources to the committees. As of November 25, 1975, current grants averaged about \$340,000, and ranged from \$161,000 to \$670,000. Because some grants covered

periods exceeding 12 months, we adjusted the above amounts to an annual basis and found that grants averaged about \$287,000 and ranged from \$147,000 to \$540,000. NEH requires each committee to match, equally, every Federal grant dollar. In-kind contributions, as opposed to cash, are generally used to meet this requirement.

NEH provisions require that each committee submit financial expenditure reports which describe amounts expended by major budget category, for example, salaries, travel, supplies, and committee grants. Amounts received by the committee for matching NEH funds are also to be identified in this report.

Committee funds are used for their own operating expenses and for making grants to nonprofit groups, organizations, and institutions within the State. NEH said fiscal accountability has been delegated to the committees. We discussed committee procedures concerning fiscal accountability with executive directors of two committees and examined a few types of expenditures for 1 year by one committee and for 1 month by the other committee. Adequate documentation was generally available.

Committees usually meet NEH's matching funds requirement by having their grantees match committee funds. Committees generally require grantees to submit itemized expenditure reports and lists of matching contributions. The committee grantee is responsible for maintaining the detailed records, such as invoices and receipts.

Committee officials in the two States visited generally did not know the extent to which committee grantees were properly accounting for funds, but did know whether grant objectives were met, that is, whether a specific event occurred. We examined some committee grantee expenditure reports in the two States and noted the following questionable practices.

--NEH and State-based Humanities Committee grant provisions require in-kind contributions to be reasonable. Regarding personal services, an individual's time generally should be recorded at that rate normally paid to him or her or at that rate actually paid for the services being performed. On one expenditure report, the donated time of 28 different persons was recorded at the same rate regardless of the service rendered.

--Some reported expenditures were made after the official grant period.

Since the State-based Program began, NEH has audited only one committee. Several inadequacies were noted in the committee's accounting system. The committee promised to correct them. According to NEH, several committees had audited grantees. In the two States visited, committee grantee audits had not been made and were not planned.

NEH and the committees, in light of the amounts being expended for their programs, should increase their efforts to insure fiscal accountability by providing additional guidelines and increasing audits of both the committee and the grantee.

National Endowment for the Humanities  
Summary of Grant Award Activity

Fiscal Year 1972

Divisions and Programs	Number awarded	Definite programs	Grants and matching (note a)	Total	Percent of obligated	Range of Awards	
						High	Low
<b>Public programs</b>							
State-based	45	33,350	3,160	33,900	18.81	\$1,641,303	\$ 714
Media grants	26	4,452	893	5,345	7.26	1,641,302	9,849
Historical organizations	16	2,500	688	3,188	1.76	1,641,302	2,000
Program development	27	2,000	-	2,000	2.74	249,200	1,000
<b>Education programs</b>							
Education projects	102	16,226	2,437	17,663	23.22	2,782,123	1,000
Education grants	102	6,765	1,803	8,568	11.30	821,751	1,000
Humanities institutes	3	2,769	-	2,769	3.79	2,782,123	2,233
Cultural institutions	2	544	-	544	.74	282,342	261,600
<b>Fellowships and stipends</b>							
Independent study	602	9,450	1,100	10,550	14.86	1,100,000	1,250
Special	345	5,079	-	5,079	6.88	338,950	5,000
American Council of Learned Societies	1	100	-	100	.14	100,000	100,000
<b>Research grants</b>							
General research	249	9,890	3,339	13,429	18.35	1,275,000	334
State and local history	106	2,187	2,175	4,362	5.96	1,275,000	334
Bicentennial history	12	1,408	1,408	2,816	3.84	1,275,000	334
Research centers	2	1,015	1,015	2,030	2.79	1,275,000	334
International bicentennial conferences	27	2,776	317	3,093	4.19	182,000	1,250
Office of Planning and Programs	21	1,779	100	1,879	2.59	283,700	5,000
Science and human values	64	5,120	313	5,433	7.44	162,600	2,335
Youth	43	1,404	-	1,404	1.92	750,000	6,778
Jefferson lecture	1	2,126	-	2,126	2.89	315,000	1,000
Program development and evaluation (note b)	1	11	25	36	.05	15,820	15,820
Total	1,330	95,282	\$8,134	\$73,178	100.00	\$2,782,123	\$ 714

a/ This amount includes funds in the form of gifts donated to the Endowment, some of which may be for a specific project or purpose.  
b/ Funds for these activities are authorized for the specific purpose of developing and evaluating Endowment programs and projects.

Senator PELL. I would point out that the GAO report does not suggest any malfeasance in office; but it does suggest significant shortcomings in administration.

These include a surprising and greatly increased lack of final reports required of grantees, with late reports, running up to 1 year.

In this respect, the report shows to me very serious consequences that grants can be renewed for a second year without evaluation or assessment for the first year's work.

In addition, the report shows a lack of responsible reporting from the Humanities State committees which resulted in corrective steps in our legislation, and a lack of fiscal accountability at the State level, again a subject of legislative concern.

The report shows a certain lack of monitoring of expenditures made by large grantees which is not in accord with Treasury requirements or Endowment policy.

There is also a statement that a planning and analytical studies unit was formally established in 1975, in November, to determine the nature and needs of the Humanities and the impact of current Endowment policies and programs on those needs. In this regard I am very glad you did this, but would point out that was the same month—and am glad you moved so fast in this—that our objection to the Humanities program was made, that it was lacking in national impact.

Now, I would like to take up these areas one by one.

The GAO report shows that a routine check by GAO of the Endowment in August 1974, disclosed that at that time 60 grantees were late in submitting final expenditure reports and 93 were late in submitting final narrative reports.

The report continues that as of December 10, 1975, 273 grantees were late in submitting final expenditure reports, of which 47 had been late over 12 months. Concerning narrative reports, 291 were late, of which 70 had been late over 12 months.

From an administrative viewpoint this does seem to be a bit shocking. This is a fourfold increase in these late reports in just over 1 year's time. It seems especially of concern when you had a GAO report in August of 1974 in which this problem was pinpointed for remedy.

I can understand a tightening up process would not eliminate this problem all at once, but under the circumstances, I cannot understand it going the other way, a fourfold increase.

I would like, as I say, to get your comments on this.

Dr. BERMAN. The Endowment recognizes the value, Senator, of the GAO report and has similarly made a request for it to be published because we believe it to be instructive to staff and council.

I know the GAO report by its very identity and designation is a delinquency report. GAO does not report superior administration. It does not report normative operation. It simply points out areas which may be critiqued or which may be improved.

I point out in addition that many of the procedures, especially having to do with grant-making personnel and other areas, are those shared by the National Foundation on the Arts and Humanities, so that the Humanities agency in itself, being one-third of the arts and shared staff, must suffer from its delinquencies exactly in that ratio.

As to final reports, we do not regard the number of final reports to be as incriminating as might be suggested. We think that the number raised by the GAO is a very small number. Variations with that is very great.

But within that number of variations there are explanations.

First, having to do with people we deal with; second, the procedures adopted by the GAO. The people we deal with, because they are part of the grassroots, because so many of them are individuals, working on stipends or fellowships, do not have the benefit of contract officers or of their own offices of evaluation or even of any bookkeeping.

If a professor is late, if someone who has enjoyed a youth grant is late, if someone from a 2-year college is late, that may very well simply be because he is inexperienced, because he is involved in his work and because he has not complied with whatever regulations we have sent to him.

When people are delinquent in their reports, it does not mean that they have not been advised by the agency of their delinquency. It only means that they have not complied.

This, added to the fact that many of them are inexperienced, accounts for that kind of delinquency.

There is a second kind of delinquency. I do not think as a matter of fact it could be called incriminating or delinquency, really, but other terms have to be sought.

The Humanities project takes a long time to do. Many of our projects stretch over from the original amount of time planned. Many of them need supplementary advice, even supplementary funds.

When people deal with the projects which they are spending a year of their lives on, they are often not careful to terminate the activities on the day which 1 or 2 years before the Government has seen fit to be its conclusion.

Finally, as to the procedure, we believe the GAO was in error, because according to our own findings, the GAO has measured delinquency reports at two different times of the year. They should not have done this. Delinquency reports should have been measured at the same time of the year and indeed dealing with the same population.

GAO failed to make another distinction. They judged delinquency reports and hence you get a ratio of what seems to be shocking, if not incriminating evidence on delinquencies against 1 single year. They should have judged this against the entire 10 years history of all delinquency reports submitted to the Endowment.

Senator PELL. How do you explain the fourfold increase in late reports? Why would they go up so much?

Dr. BERMAN. Because they are measured at different times of the year. We generally deal with academic year. They neglected to observe that at the two different times they measured this.

Senator PELL. The time period is discussed in the report which seemed very factual to me. In this connection, would you submit for the record over the last 3-year period a list of the 20 institutions which received the largest grants, and the totals involved in each case?

Dr. BERMAN. Would be very happy to.

[The information referred to follows:]

NEH Grantees Receiving The Largest Amount of NEH Grant Funds,  
FY 1975

1. The University of Chicago: Chicago, Illinois

Total funds awarded: \$3,089,140

Total number of projects: 8

- (1) Establishment and operation of a three-year National Humanities Institute which brings together junior and senior faculty from various institutions throughout the country to develop and test new interdisciplinary course materials for use in the nation's colleges (Education: \$2,754,366).\*
- (2) Conducting two dance history seminars to serve as a pilot project for graduate programs in dance history which are not currently offered by any college or University in the United States. (Higher education project: \$44,953).
- (3) Conducting an academic-year seminar on comparative religion and anthropology for 10 teachers from small 2 and 4-year colleges. (Fellowships for college teachers: \$29,890).
- (4) Conducting a seminar for 12 teachers from small colleges exploring the distinctiveness and interrelationships of American and European literatures. (Fellowships in Summer Seminars: \$45,236).
- (5) Conducting a seminar for 12 teachers from small colleges examining the Assyrian and Babylonian empires. (Summer Seminars: \$42,994).
- (6) Conducting a seminar for 12 teachers from small colleges on Chinese history. (Summer Seminars: \$45,829).
- (7) Providing students, faculty and research scholars of South Asia an extensive bibliographic and topical reference tool on the civilizations of South Asia. (Research Tools: \$38,982).
- (8) Undertaking an historical analysis of theories of peace, retrieving heretofore neglected works on peace since 1800. (Research Tools: \$35,000).

2. The American Council of Learned Societies: New York, New York

Total funds awarded: \$2,549,762 (\$104,762 outright plus \$2,445,000 gifts and matching)

Total number of projects: 5

- (1) Supplemental support of the post-doctoral fellowship program of the A.C.L.S. which provides funds for recent Ph.D.'s throughout the U.S. to research specific topics in their fields. (Fellowships: \$1,100,000).
- (2) Collecting, arranging chronologically and annotating the 5,000 letters of Charles Darwin. (Research editing: \$28,262).
- (3) Operation of the Universities Service Center in Hong Kong, an international facility which is directed by a Consortium of American universities and which assists American students, teachers and researchers working in Chinese Studies. (Research centers: \$140,000).
- (4) Assisting the reciprocal exchange programs and related grant activities of the U.S. International Research and Exchange Board which allows faculty members and graduate students throughout the U.S. to study and carry out research in Eastern European Countries. (Research: \$1,275,000).
- (5) Conducting preliminary planning for a national study of scholarly communication. (Office of Planning: \$6,500).

\*NEH program providing the grant and the amount of award are shown in parenthesis.

3. Center for Understanding Media: New York, New York

Total funds awarded: \$1,641,302

Total number of projects: 1

Production of a series of 10 outstanding American short stories spanning the history and present of the United States for broadcast over P.B.S. stations.

4. Harvard University: Cambridge, Massachusetts

Total funds awarded: \$1,352,771 (\$1,124,999 outright plus \$227,772 gifts and matching)

Total number of projects: 14

- (1) Production of ten 16 mm. sound films for use in law schools in teaching evidence courses using filmed accounts of trial situations instead of appellate decisions. (Higher education: \$354,598).
- (2) Continuing the fellowship program for law teachers from other universities throughout the nation designed to broaden the perspectives of law teachers and thus affect the training of future lawyers in relating legal thinking to humanistic values and goals. (Fellowships in the professions: \$350,745).
- (3) Operation of a fellowship program which allows faculty and research scholars to study the Renaissance. (Fellowship centers: \$45,000).
- (4) Conducting a seminar on aspects of Chaucer's work and environment for 12 teachers from small colleges. (Summer seminars: \$43,438).
- (5) Collecting and cataloguing selected negatives and prints from the files of American professional photographers or American values, attitudes, institutions, organizations and ceremonies. (Research: \$42,458).
- (6) Expanding the Harvard-Yenching Library's service through preservation of fragile materials and cataloguing rare books. (Research centers: \$150,000).
- (7) Collecting and systematizing photographic and archaeological data on medieval Venice for medieval and early Renaissance art history. (Research: \$33,074).
- (8) Cataloguing 17,000 Byzantine lead seals in the Dumbarton Oaks research library as the primary source material for a detailed history of Byzantine imperial and ecclesiastical administration. (Research tools: \$35,325).
- (9) Preparation of an historical bibliography of American law. (Research tools: \$43,212).
- (10) Revising and updating the Short Title Catalogue, an important tool for study of the English Renaissance. (Research tools: \$16,509).
- (11) Development and utilization of spectral and microscopic techniques for analysis of the painted and engraved caves of Europe. (Research: \$40,000).
- (12) Completion of field research by American specialists and students at the Sardis excavation. (Research: \$52,773).
- (13) Researching public conceptions of the ethical and human value implications of science. (Office of Planning: \$10,640).
- (14) Developing two courses and materials based on case studies on the ethical issues involved in medicine and public health for use in higher education programs. (Office of Planning: \$135,000).

5. American Associations for State and Local History: Nashville, Tennessee  
 Total funds awarded: \$1,321,948 (\$1,306,948 outright plus \$15,000 gifts and matching).  
 Total number of projects: 5
- (1) Development of local historical societies by providing members of their professional staffs with a broad overview of the functions and implications of historical society work in the community. (Public museums: \$66,236).
  - (2) Aiding local historical organizations to help visitors learn about the history of preservation sites through 18 regional workshops. (Public museums: \$128,079).
  - (3) Publishing and distributing to museums and historical societies a series of publications on the topics of the American Issues Forum for use in community programs. (Public museums: \$98,041).
  - (4) Holding eight regional workshops to deal with the essential meaning of the Revolution today and how historical societies and museums convey that meaning to the public they serve. (Public museums: \$15,000).
  - (5) Research and writing of popular histories on each of the 50 States ("the States and the Nation" series). (Research: \$1,014,592).
6. Speech Communication Association: New York, New York  
 Total funds awarded: \$1,240,000  
 Total number of projects: 1  
 Planning coordination and operation of the national Bicentennial Youth Debates programs. (Office of Planning: \$1,240,000).
7. Children's Television Workshop: New York, New York  
 Total funds awarded: \$1,108,582  
 Total number of projects: 2
- (1) Researching, developing and producing thirteen one-hour television programs presenting American social history in dramatic context for broadcast over the 250 P.B.S. stations. (Public media: \$1,029,991).
  - (2) Developing a pilot, nine half-hour programs and classroom materials which reflect the nine monthly topics of the American Issues Forum calendar for use in school classrooms. (Elementary and Secondary Education: \$78,591).
8. Educational Broadcasting Corporation: New York, New York  
 Total funds awarded: \$1,050,000 (\$300,000 outright plus 750,000 gifts and matching).  
 Total number of projects: 2
- (1) Production support for the Adams Chronicles (a series of eleven 60-minute dramatizations of the lives of members of John and Abigail Adam's family) for broadcast over P.B.S. (Public media: \$750,000).
  - (2) Production of a projected television series of 8 one-hour color programs on "Liberty" in the United States to be shown over P.B.S. (Public media: \$300,000).

9. Indiana Committee for the Humanities: Evansville, Illinois

Total funds awarded: \$967,900 (\$957,567 outright plus \$10,333 gifts and matching).

Total number of projects: 2

- (1) Development of a six-part program for the coming year including local Humanities Advisory Councils in 13 regions of the state, workshops and seminars. (Public state based: \$602,400).
- (2) Development of local projects which stress the emergence of institutions, ethnic patterns, cultural life and the social order in Indiana since the Revolutionary Era. (Public state based: \$365,500).

10. Yale University: New Haven, Connecticut

Total funds awarded: \$867,387 (\$617,387 outright plus \$250,000 gifts and matching).

Total number of projects: 14

- (1) Development of at least 8 biographic films presenting the major themes of the social history of the trans-Mississippi West for showing over PBS. (Public media: \$44,089).
- (2) Training an intern to gain practical experience in historical curatorship and related museum work at the San Bernadino County Museum. (Public museums: \$26,000).
- (3) Training 3 interns in museum curatorship and administration by working with the Director of the Yale University Art Gallery and in the American Arts Office for one year. (Public museums: \$31,500).
- (4) Supporting Yale's Doctor of Fine Arts program in literature (Higher education projects: \$150,000).
- (5) Study of Chinese history. (Research: \$60,593).
- (6) Preparation of the texts in the Yale Babylonian collection for publication. (Research: \$58,976).
- (7) Planning and Organization of the Fourth International Congress on the Enlightenment with 500 participants from throughout the U.S. and abroad in connection with the U.S. Bicentennial. (Research: \$130,000).
- (8) Continuing work on the edition of the works of St. Thomas More. (Research editing: \$79,000).
- (9) To prepared complete catalogue and a volume of correspondence as part of the Private Papers of James Boswell. (Research editing: \$110,408).
- (10) Editing the voluminous scattered letters, diaries, speeches and autobiographies of the 19th century Black leader Frederick Douglass. (Research editing: \$150,000).
- (11) Preparing for press the Book of Seeds of the Code of Maimonides. (Research editing: \$6,225).
- (12) Completion of a catalogue of the drawing of Peter Paul Rubens. (Research tools: \$13,579).
- (13) Researching the economic decision-making process of West African herdsmen. (Youthgrants: \$2,789).
- (14) Involving residents of Fair Haven, Conn. in a reconstruction of their own village history by means of newspaper articles, a photographic exhibit and teaching. (Youthgrants: \$4,219).

11. New York University: New York, New York  
 Total funds awarded: \$846,258 (\$225,258 outright plus \$621,000 gifts and matching).  
 Total number of projects: 6
- (1) Initiating an interdisciplinary undergraduate program exploring the flow of influence back and forth between Western civilization and the great civilizations of Asia. (Education planning: \$29,707).
  - (2) Support for the Institute of Fine Arts. (Education development: \$50,000).
  - (3) Providing students with an opportunity to train, observe and learn about Shakespearian literature and performance. (Higher education project: \$550,000).
  - (4) Development of a college level course on the American Architectural experience suitable for television broadcast over PBS. (Higher education: \$148,173).
  - (5) Conducting a seminar for 12 teachers from small colleges studying the history, philosophy, science and technology of the latter half of the 18th century. (Summer Seminars: \$41,253).
  - (6) Cataloguing and preparation for publication of the results of the Aphrodisias excavation in Turkey. (Research: \$27,195).
12. The Metropolitan Museum of Art: New York, New York  
 Total funds awarded: \$828,625 (\$398,625 outright and 430,000 gifts and matching).  
 Total number of projects: 3
- (1) Displaying of the "Scythian Gold" exhibition -- archaeological treasures from the U.S.S.R. (Public museums: \$395,000).
  - (2) Preparation and display of the Centenary of Impressionism -- an exhibition of Impressionist paintings from French and American museums and private collections. (Public museums: \$428,000).
  - (3) Development of high-school program for high-school students on the arts and humanities in American Society. (Youthgrants: \$5,625).
13. University of California: San Diego, California  
 Total funds awarded: \$812,057 (\$812,057 outright  
 Total number of projects: 3
- (1) Implementing and testing a pilot program to improve the quality and transform the nature of undergraduate teaching in the humanities. (Education planning: \$29,950).
  - (2) Conducting a seminar on the principles of equality versus the principles of elitism for 12 teachers from small colleges. (Summer Seminars: \$39,193).
  - (3) Planning, implementation and operation two new Courses by Newspaper related to the American Issues Forum. (Office of Planning: \$742,914).
14. The Newberry Library: Chicago, Illinois  
 Total funds awarded: \$748,141 (\$592,441 outright and \$192,700 gifts and matching).  
 Total number of projects: 8

- (1) Program to upgrade the teaching and research skills of American teachers of social and political history. (Higher Education project: \$151,382).
  - (2) Development of a Center for the History of the American Indian (Higher Education project: \$59,000).
  - (3) Awarding four fellowships to scholars to study various aspects of history, philosophy and literature (Fellowship centers: \$49,500).
  - (4) Preparation for publication of a book concerning the history and culture of the Cheyenne Indian. (Research: \$21,563).
  - (5) Completion of the cartographic preparation of maps for publication in the Atlas of Early American History. (Research tools: \$283,700).
  - (6) Preparation for publication of a definitive catalogue of pre-1900 printed maps, atlases and city plans of seven Midwestern states. (Research tools: \$130,000).
  - (7) Providing a machine-readable data file of the locations of county and other boundary changes as they developed in the U.S. (Research tools: \$65,000).
  - (8) Completion of an extensive guide to materials concerning the history of Indian-White relations in the U.S. (Research tools: \$24,996).
15. Frederick Burk Foundation of San Francisco: San Francisco, California  
 Total funds awarded: \$700,000  
 Total number of projects: 1  
 Implementation of a program of curriculum reform for the School of Humanities. (Education development: \$700,000).
16. The University of Michigan: Ann Arbor, Michigan  
 Total funds awarded: \$694,728 (\$693,128 outright plus \$1,600 gifts and matching).  
 Total number of projects: 12
- (1) Development of philosophy materials for high school students. (Elementary and secondary education: \$3,000).
  - (2) Funding for the Center of Coordination of Ancient and Modern Studies conferences. (Higher Education: \$1,600).
  - (3) Collaboration with The Henry Ford Museum on a course in American Civilization. (Higher education: \$33,610).
  - (4) Providing for 12 fellowships for an academic year to journalists from throughout the U.S. (Fellowship for professions: \$299,142).
  - (5) Conducting a seminar for 10 participants from throughout the U.S. exploring significant themes in American history. (Fellowships for college teachers: \$40,460).
  - (6) Conducting a seminar on the American Revolutionary generation for 12 participants from small colleges. (Summer Seminars: \$38,631).
  - (7) Conducting a seminar on Philosophy for 12 participants from small colleges. (Summer Seminars: \$48,957).
  - (8) Completion of sorting and cataloguing the collections of the Kelsey Museum. (Research centers: \$30,000).
  - (9) Studying the impact of the Revolutionary War. (Research: \$7,910).

- (10) Study and photographing of hieroglyphic inscriptions on pre-historic stone monuments. (Research: \$13,615).
- (11) Location of materials relating to the history of immigrants to the U.S. from Finland, the Netherlands, Ireland and Italy. (State and Local History Research: \$117,803).
- (12) Continue work for a dictionary of Early Modern English. (Research tools: \$60,000).
17. Ohio Committee for Public Programs in the Humanities: Columbus, Ohio  
 Total funds awarded: \$673,263 (\$665,663 outright and \$7,600 gift and matching).  
 Total number of projects: 3  
 (1) Conduct conferences of humanists discussing "Human Values in a Changing Society" (Public state-based: \$340,000).  
 (2) Support of local projects on the theme, "Human Values in a Changing Society." (Public state-based: \$332,163).  
 (3) Definition of justice, the law, and the role of public opinion in influencing these concepts. (Public state-based: \$1,000).
18. Modern Language Association: New York, New York  
 Total funds awarded: \$666,602  
 Total number of projects: 3  
 (1) Distribution and showing of five 16 mm. films on the humanities in 250 libraries across the country. (Public media: \$457,130).  
 Development of models for teaching languages and literature to college students from minority groups. (Higher education: \$187,938).  
 (2) Development of models for teaching languages and literature to college students around the country who are from minority groups. (Higher education: \$187,938).  
 (3) Continuation of a program of annual author-prepared abstracts of scholarly articles in modern languages and literatures. (Research tools: \$21,534).
19. California Council for the Humanities in Public Policy: San Francisco, California  
 Total funds awarded: \$568,400  
 Total number of projects: 1  
 Consulting the state's humanists and civic, professional and community organizations and sponsoring local projects about the theme, "The Pursuit of Community in California."
20. Nelson Gallery of Art - Atkins Museum of Fine Arts: Kansas City, Missouri  
 Total funds awarded: \$547,401  
 Total number of projects: 2  
 (1) Planning an exhibition of the arts of the North American Indian. (Public museums: \$100,000).  
 (2) Accommodation and interpretation of the Exhibition of Archaeological Finds of the People's Republic of China. (Public Museums: \$447,401).

- (10) Study and photographing of hieroglyphic inscriptions on pre-historic stone monuments. (Research: \$13,615).
- (11) Location of materials relating to the history of immigrants to the U.S. from Finland, the Netherlands, Ireland and Italy. (State and Local History Research: \$117,803).
- (12) Continue work for a dictionary of Early Modern English. (Research tools: \$60,000).
17. Ohio Committee for Public Programs in the Humanities: Columbus, Ohio  
 Total funds awarded: \$673,263 (\$665,663 outright and \$7,600 gift and matching).  
 Total number of projects: 3  
 (1) Conduct conferences of humanists discussing "Human Values in a Changing Society" (Public state-based: \$340,000).  
 (2) Support of local projects on the theme, "Human Values in a Changing Society." (Public state-based: \$332,163).  
 (3) Definitions of justice and law, and the role of public opinion in influencing these concepts. (Public state-based: \$1,000).
18. Modern Language Association: New York, New York  
 Total funds awarded: \$666,602  
 Total number of projects: 3  
 (1) Distribution and showing of five 16 mm. films on the humanities in 250 libraries across the country. (Public media: \$457,130).  
 (2) Development of models for teaching languages and literature to minority students in the nation's colleges. (Higher education: \$187,938).  
 (3) Continuation of a program of annual author-prepared abstracts of scholarly articles in modern languages and literatures. (Research tools: \$21,534).
19. California Council for the Humanities in Public Policy: San Francisco, California  
 Total funds awarded: \$568,400  
 Total number of projects: 1  
 Consulting the state's humanists and civic, professional and community organizations and sponsoring local projects concerning the theme, "The Pursuit of Community in California."
20. Nelson Gallery of Art - Atkins Museum of Fine Arts: Kansas City, Missouri  
 Total funds awarded: \$547,401  
 Total number of projects: 2  
 (1) Planning an exhibition of the arts of the North American Indian. (Public museums: \$100,000).  
 (2) Accommodation and interpretation of the Exhibition of Archaeological Finds of the People's Republic of China. (Public museums: \$447,401).

NEH Grantees Receiving the Largest Amount of NEH Grant Funds  
FY 1976

1. Educational Broadcasting Corporation: New York, New York  
 Total funds awarded: \$4,719,818 (\$3,619,818 outright plus \$1,100,000 gifts and matching).  
 Total number of projects: 4
  - (1) Production of a television series to be shown over PBS stations that examines basic American liberties and rights (Public media: \$900,000)\*
  - (2) Production of a television series to be shown over PBS stations about the Adams' family and their role in American history. (Public media: \$800,100).
  - (3) Production of a television adaptation of Charles Dicken's novel Hard Times to be shown over PBS. (Public media: \$200,000).
  - (4) Production of a television series related to the themes of the American Issues Forum shown over PBS stations and aimed at elementary school students. (Public media: \$2,819,718).
  
2. American Council of Learned Societies: New York, New York  
 Total funds awarded: \$2,556,237 (\$706,237 outright plus \$1,850,000 gifts and matching).  
 Total number of projects: 5
  - (1) A program to allow faculty members and graduate students from throughout the United States to conduct humanistic research in Eastern Europe. (Research: \$1,425,000).
  - (2) Operation of a program for recent Ph.d's to do research in the humanities (Research: \$375,000).
  - (3) Publication of the work of William James. (Research editing: \$246,607).
  - (4) A program to provide assistance to United States citizens to participate actively in international scholarly meetings abroad. (Research: \$84,630).
  - (5) A study examining the status of scholarly communication and dissemination (Office of Planning: \$425,000).
  
3. Harvard University: Cambridge, Massachusetts  
 Total funds awarded: \$1,515,619 (\$1,368,507 outright plus \$147,112 gifts and matching).  
 Total number of projects: 17.
  - (1) Development of an extensive public program of loan exhibits of the University Museum's photographic collection. (Public museums: \$11,847).
  - (2) Development of a model humanistic curriculum in film studies (Education: \$180,212).
  - (3) Production of films in the history of art and architecture directed toward use in university and museum educational programs. (Education: \$10,895).
  - (4) Establishment of a seminar on religion for 12 teachers from two and four year colleges. (Summer Seminar: \$42,231).
  - (5) A seminar on European history for 10 college teachers (Fellowships for College Teachers: \$40,283).
  - (6) Workshops for faculty and researchers on Renaissance themes. (Fellowships: \$45,000).
  - (7) A program designed to broaden the perspectives of law professors and thereby affect the training of future lawyers. (Fellowships professions: \$374,824).
  - (8) A seminar for educational leaders designed to bring humanistic knowledge and insights to bear in their professions. (Fellowships professions: \$39,894).

\*NEH program providing the grant and the amount of award are shown in parenthesis.

- (9) Creation of a guide of the various ethnic peoples of the United States to serve both scholars and the general public. (Research tools: \$130,108).
- (10) Revision of a research bibliography for study of the English Renaissance period. (Research tools: \$30,000).
- (11) Archaeological field research at the Sardis site in Turkey. (Research: \$43,750).
- (12) A comprehensive record of Maya hieroglyphic writing. (Research: \$87,062).
- (13) Compilation of a listing of known Greek authors and each of his extant works. (Research tools: \$145,342).
- (14) A study of the American population during its formative years. (Research: \$48,362).
- (15) Organization of the Sematic Museum collections. (Research centers: \$225,000).
- (16) Completion of an inventory for Harvard's archive of the Republic of Georgia. (Research centers: \$30,809).
- (17) Continuation of the Harvard newsletter which focuses on ethical and values questions relating to science and technology. (Office of Planning: \$30,000).

4. Yale University, New Haven, Connecticut

Total funds awarded: \$1,256,819.

Total number of projects. 21.

- (1) Production of a television series on the history of the American West to be broadcast over PBS. (Public media: \$555,637).
- (2) Support for interns from around the United States to receive training in museum curatorship and administration. (Public museums: \$31,500).
- (3) Support for five interns preparing for careers in museums and historical societies concerned with the American arts. (Public museums: \$26,000).
- (4) A program allowing 10 teachers from two and four year colleges to spend a year studying European literature. (Fellowships for College Teachers: \$41,670).
- (5) Establishment of a seminar on American literature for 12 teachers from two and four year colleges. (Summer Seminars: \$41,089).
- (6) Establishment of a seminar on American and European literature for 12 teachers from two and four year colleges. (Summer Seminars: \$40,179).
- (7) Establishment of a seminar on music for 12 teachers from two and four year colleges. (Summer Seminars: \$40,100).
- (8) Establishment of a seminar on the English language for 12 teachers from two and four year colleges. (Summer Seminars: \$42,775).
- (9) Establishment of a seminar on Russian literature for 12 teachers from two and four year colleges. (Summer Seminars: \$42,799).
- (10) Establishment of a seminar on religion for 12 teachers from two and four year colleges. (Summer Seminars: \$42,886).
- (11) Establishment of a seminar on literature for 12 teachers from two and four year colleges. (Summer Seminars: \$46,402).
- (12) Production of a catalog of the James Weldon Johnson Memorial Collection of materials related to American black writers to make this material more accessible to the public. (Research centers: \$102,122).
- (13) Editing and publication of the Benjamin Franklin papers. (Research editing: \$40,000).
- (14) A catalog of photographs of British works of art. (Research centers: \$39,528).
- (15) Collection and preservation of source materials related to America music. (Research: \$23,787).
- (16) Publication of the Book of Seeds of the Code of Maimondes. (Research editing \$26,090).
- (17) Studying of the development of armed services security and classification systems. (Research: \$22,502).
- (18) A biographical study of the English Parliament. (Research: \$15,000).

- (19) Publication of manuscript accounts of the Parliament of 1628. (Research: \$15,000).
- (20) Compilation of a bibliography on undersea mine warfare. (Research tools: \$13,262).
- (21) Catalog of the works of James Boswell. (Research editing: \$8,482).
5. The New York Public Library: New York, New York  
 Total funds awarded: \$1,537,820 (1,537,820 gifts and matching).  
 Total number of projects: 2.
- (1) Preparation of automated library systems (Research centers: \$1,250,000).
- (2) Strengthening the Schomburg Center for Research in Black Culture. (Research centers: \$287,820).
6. The Newberry Library: Chicago,  
 Total funds awarded: \$1,146,011. (\$1,016,011 outright, \$130,000 gifts and matching).  
 Total number of projects: 8.
- (1) Establishment of a local history institute to bring together professional and non-professional historians. (Public: \$49,887).
- (2) Conducting a series of national conference of teachers and other specialists in state and community history. (Education: \$448,770).
- (3) Development of new curricula and teaching methods on America India history for elementary students. (Education: \$267,723).
- (4) Development of a Center for the History of American Indians. (Education: \$43,000).
- (5) A conference on the teaching of state history in public universities. (Education: \$14,973).
- (6) Five fellowships for study at the Newberry Library. (Fellowships centers: \$45,000).
- (7) Publication of an Atlas of Great Lakes Indian History. (Research tools: \$173,642.)
- (8) Completion of the maps for the Atlas of Early American history. (Research tools: \$103,016).
7. University of California, Berkeley: Berkeley, California  
 Total funds awarded: \$935,050. (\$826,188 outright plus \$108,862 gifts and matching).  
 Total number of projects: 11
- (1) Improvement of student writing at all levels of instruction in the Bay Area through training and testing teachers of English. (Secondary education: \$178,206).
- (2) Conducting a seminar on religion and American political life for 17 teachers from small colleges. (Summer Seminars: \$43,235).
- (3) Conducting a seminar on American and European literature for 12 teachers from small colleges. (Summer Seminars: \$41,652).
- (4) Conducting a seminar on British culture for 12 teachers from small colleges. (Summer Seminars: \$37,501).
- (5) Conducting a seminar on the nature of culture for 10 college teachers. (Fellowships for College Teachers: \$41,852).
- (6) Excavating the Pan-Hellenic Sanctuary at Nemea. (Research: \$108,862).
- (7) Study of governments' efforts to tax and spend. (Research: \$81,839).
- (8) Completion of annotation of the films and photographs of the Agnicayana Ritual in India. (Research: \$42,877).
- (9) Establishment and maintenance of an archive documenting the growth of nuclear sciences and electrical engineering in the Western United States. (Research centers: \$14,927).
- (10) Publication of "The Mark Twain Papers." (Research centers: \$123,110).

- (11) Establishment and maintenance of the correspondence of and the interviews with 20th Century scientists. (Research Tools: \$220,984).
8. The University of Chicago: Chicago, Illinois  
 Total funds awarded: \$944,395.  
 Total number of awards: 8.
- (1) Development of new graduate and undergraduate programs in early Greek studies at the University. (Education planning: \$49,960).
  - (2) Conducting a seminar on Chinese history for 12 teachers from small colleges. (Summer Seminars: \$45,017).
  - (3) Conducting a seminar on the concepts of rationality and freedom for 12 teachers from small colleges. (Summer Seminars: \$40,582).
  - (4) Publication of the cuneiform texts excavated at Tell Asmar. (Research: \$45,000).
  - (5) Production of a dictionary of the Hittite language. (Research tools: \$219,822).
  - (6) Publication of a catalogue of Indian and Persian painting. (Research tools: \$94,014).
  - (7) Preparation of a source book for the social and economic history of the Near East. (Research tools: \$100,000).
  - (8) Continuation of the Chicago Assyrian Dictionary Project. (Research tools: \$350,000).
9. Learning in Focus, New York, New York  
 Total funds awarded: \$918,302.  
 Total number of projects: 1.
- Production of a series of 10 outstanding American short stories spanning the history and present of the United States for broadcast over P.B.S. stations.
10. Speech Commission Association: New York, New York  
 Total funds awarded: \$896,000. (676,000 outright plus \$220,000 gifts and matching.)  
 Total numbers of projects: 1.
- Operation of the Bicentennial Youth Debates at regional and national levels. (Office of Planning: \$896,000).
11. University of Washington: Seattle, Washington  
 Total funds awarded: \$889,404.  
 Total number of projects: 2.
- (1) Production of a six-part television series on bioethics for broadcast over P.B.S. stations. (Public media: \$89,442).
  - (2) Restructuring the humanities component of the requirements in general education at the University. (Education development: \$799,962).

12. Illinois Humanities Council: Urbana, Illinois  
 Total funds awarded: \$854,818. (\$752,354 outright plus \$102,464 gifts and matching).  
 Total number of projects: 2.  
 (1) Support of a program on "Humanities and Public Policy" aimed at and involving smaller towns and cities. (Public state-based: \$737,000).  
 (2) Support of a program on "Individual and Governmental Responsibility". (Public state-based: \$117,818).
13. University of Michigan: Ann Arbor Michigan  
 Total funds awarded: \$853,157.  
 Total number of projects: 11.  
 (1) Fellowships made to persons from around the country for training for careers in museum work. (Public Museum: \$19,500).  
 (2) Seminars to build communications among teachers and researchers of women's studies from throughout Southern Michigan. (Higher Education: \$40,985).  
 (3) Fellowships for over a dozen journalists from throughout the nation to of broaden and sharpen this humanistic perspective on their work. (Fellowships in the Professions \$287,058).  
 (4) Establishment of a Seminar to allow 12 teachers from 2 and 4 year colleges from throughout the United States to examine the democratic political tradition. (Summer Seminars: \$46,425).  
 (5) Establishment of a Seminar to allow 12 teachers from 2 and 4 year colleges throughout the nation to examine the causes and consequences of the American Revolution in small communities. (Summer Seminars: \$38,685).  
 Automation of the data of the Statistique Generale de la France. (Research centers: \$150,000).  
 (7) Preparation of a Dictionary of Chinese Official Titles with descriptive essays on governmental institutional structures. (Research tools: \$71,605).  
 (8) Creation of a Dictionary of Early Modern English to facilitate Renaissance Studies. (Research tools: \$54,293).  
 (9) Development of an automatic system transforming musical sounds into music notation. (Research: \$68,075).  
 (10) Preparation of collection of recent Soviet Russian contributions to linguistics; (Research: \$38,551).  
 (11) A study of linguistic change and ethnicity among speakers of German (Research: \$37,980).
14. Ohio Committee for Public Programs in the Humanities: Columbus, Ohio  
 Total funds awarded: \$846,944 (\$837,788 outright and \$9,156 gifts and matching).  
 Total number of projects: 1.  
 Support for local and area humanities projects on the theme "Human Values in a Changing Society".  
 (Public State-based: \$846,944).
15. Public Committee for the Humanities in Pennsylvania: Lewisburg, Pennsylvania  
 Total funds awarded: \$775,750 (\$505,750 outright and \$270,000 gifts  
 Total number of projects: 2.  
 (1) Support for local and area humanities programs on the theme "The People of Penn. and their Institutions: Who does What?" Special attention is given to Bicentennial programs (State-based: \$274,375).

- (2) Support for local and area humanities programs on the theme "Pennsylvania's People and their Institutions: Hard Times and Human Values." (State-based: \$501,375).
16. Oklahoma Humanities Committee: Norman, Oklahoma  
 Total funds awarded: \$775,290 (\$768,830 outright and \$6,460 gifts and matching).  
 Total number of projects: 1.  
 Support for local and area humanities programs on the theme "Citizen Values in Community Decisions: 200 Years after Independence".
17. Stanford University: Stanford, California  
 Total funds awarded: \$762,016 (\$416,216 outright and \$345,800 gifts and matching).  
 Total number of projects: 8.
- (1) Improvement of elementary and secondary education in the Bay Area through revised curricula, teaching methods, and use of university based resources. (Elementary and Secondary Education: \$49,800).
  - (2) Creation of law courses for undergraduates not planning to become lawyers, but seeking an understanding of the role of law in society. (Higher Education: \$5,000)
  - (3) Fellowships for over a dozen journalists from throughout the nation to broaden and sharpen their humanistic perspective on their work. (Fellowships in the Professions: \$315,459).
  - (4) Establishment of a fellowship program for educators from throughout the nation to study the role and history of American education (Fellowships in the Professions: \$38,370).
  - (5) Establishment of a Seminar to allow teachers from 2 year and 4 year colleges from across the country to study Chinese literature. (Summer Seminar: \$44,105).
  - (6) Establishment of a Seminar to permit teachers from 2 and 4 year colleges from throughout the nation to study Greek history. (Summer Seminar: \$43,523).
  - (7) Development of self-supporting multi-institutional services by automating California libraries. (Research Centers: \$243,800).
  - (8) A study of the social processes by which some groups of painters attain recognition and "success" while others do not. (General Research: \$21,959).
18. University of Illinois, Urbana: Urbana, Illinois  
 Total funds awarded: \$731,383.  
 Total number of projects: 8.
- (1) Production of radio broadcasts on the humanities for National Public Radio. (Public media: \$10,000).
  - (2) Conduct summer workshops on curriculum development in the African humanities for professionals from participating school districts. (Elementary and Secondary education: \$422,383).
  - (3) Conducting a seminar on American intellectual and cultural history for 10 college teachers.
  - (4) Conducting a seminar on anthropology for 12 teachers from small colleges. (Summer Seminars: \$45,010).

- (5) Conducting a seminar on the American Revolution for 12 teachers from small colleges. (Summer Seminars: \$43,156).
- (6) Planning a working conference on Republican China. (Research: \$7,384).
- (7) Conduct a seminar on the results of research on the role of women and children in prerevolutionary Russia. (Research: \$14,768).
- (8) Production of a guide to sources of early American music. (Research Tools: \$156,111).
19. National Humanities Faculty, Inc.: Concord, Massachusetts  
 Total funds awarded: \$696,264. (\$566,284 outright plus \$130,000 gifts and matching).  
 Total number of projects: 1.  
 Involving 50 teachers from 50 different schools from around the United States to improve humanities curricula and teaching. (Elementary and Secondary education: \$696,264).
20. Washington Commission on the Humanities: Seattle, Washington  
 Total funds awarded: \$684,000.  
 Total number of projects: 1.  
 Supporting local and regional projects centering on the theme, "Education and Public Policy." (Public State-based: \$684,000).

Senator PELL. Perhaps one of the reasons they did not respond, is because GAO says that notification in general standard letters did not specifically emphasize the grantees' responsibility for submitting these reports.

Dr. BERMAN. I think the language can certainly be strengthened.

Senator PELL. I think put on a more personal basis it might produce more action.

Now, I will turn to another quotation from the GAO report:

A list of grantees late in submitting reports is prepared only once a year: thus, some grantees' reports may be delinquent for almost a year before NEH takes action.

Why is that?

Dr. BERMAN. Related to the small size of the Endowment, we do not have computerized facilities, and the administrative staff is very small, and we can simply not afford, in man-hours, to do this more than once a year, sir.

Senator PELL. The GAO report further states that endowment funds can be paid to grantees before the receipt of the final reports.

In other words, a new grant can be made to the same grantee; the grant can be renewed before the first one is evaluated.

Is that a correct statement?

Dr. BERMAN. In some cases it may be correct. In some cases it may be even an improvement on ordinary procedures.

Advances are necessary in order to get our projects started. We are often dealing with people and institutions who have no funds of their own with which to begin the enterprises for which they have applied. We see no reason why the Federal Government cannot extend itself, make things easier.

Sir, in addition, they have been advanced in emergency situations.

Senator PELL. Under these procedures, would it not be possible for a second endowment grant to be made without receipt of the report of the effectiveness of the first, so that you would be putting, in some cases, fortunately not too many, I trust, good money after bad?

Dr. BERMAN. It might, but on the other hand, we deal with the good faith of our constituency.

Senator PELL. I will try to move in on some specific grants. Obviously, your familiarity is much greater than mine.

I have a surface view of it; and I have tried to dig in as deeply as I can because I want to see the Humanities Endowment be the success I believe it should be.

Is it not true that a majority of the members of the advisory committee dealing with a program in Chicago resigned with a recommendation that the program not be continued a second year? I think the program is called "Writing in Chicago."

Dr. BERMAN. That is one of the grants we sometimes attempted to talk up as a problem grant. However, Senator, the entire advisory board has not resigned. We do in fact have evaluation of that particular application.

It turns out that the people originally designed to work with that application in Chicago were uncertain of the conditions of their employment. Uncertain of how much time it would take and what their responsibilities were.

Because of that there was considerable flurry, a good deal of discontent, and eventually a kind of compromise reached to the best of our knowledge; and the "Writing in Chicago" program is now pretty squarely on its feet.

I will be happy to submit any material you want, however, substantiating these details.

Senator PELL. Is it not correct that a majority of the members think their—I think there were five in one group, two of them separately, and an 11-man board—resigned over the way this project was handled?

Dr. BERMAN. I do not know the numbers. I cannot recall that. I would be happy to supply that for the record.

Senator PELL. I think that is correct.

Senator JAVITS. Would the Senator yield?

Senator PELL. Yes.

Senator JAVITS. I ask unanimous consent that at the appropriate place in the record, so it does not break into the Senator's examination, to insert a letter of Richmond Crinkley, of the American National Theater and Academy in New York, and other letters, of which copies will be furnished to Senator Pell, recommending the appointment, reappointment of Chairman Berman, and also approving of his conduct of the affairs of the endowment.

Senator PELL. Without objection, such letters will be inserted in the record at the conclusion of testimony of this hearing.

[The letters referred to may be found at the end of the printed hearing (see p. 245).]

Senator PELL. Going back to this "Writing In Chicago," we would be glad to receive any information from you for the record.

By the same token, we will put in some of the documentation we have.

The second year of the program is beginning this fall, I believe; is it not?

Dr. BERMAN. I believe so, Senator.

Senator PELL. Has it been studied yet by the Endowment, the "Writing In Chicago" project?

Dr. BERMAN. Not in the sense of a formal evaluation, but the endowment has invested a good deal of staff time in sending people out there to find out what was wrong and how it can be righted.

Senator PELL. Would not the normal instinct be, unless you had a particular connection or relationship with the institution, if more than half of the advisory board resigned, to reevaluate—

Dr. BERMAN. So much of what we do has turned out right for us that we are not after all experienced in dealing with the grants that turned out wrong. When we do work with those very few and unrepresentative grants of this kind, the thing to do is not foreclose their mortgage, but to try and improve their holdings.

Senator PELL. I think that the resignation occurred in March, and this is now September. Is that not a long lag in delay in making a study?

Dr. BERMAN. I do not think so, Senator. We may expect whatever delay as consequent on having a very small staff to review an evaluation.

Senator PELL. I would hope that in a Government agency, when there is that much of a blowup, whether it be under HEW or wherever, that if half of the advisory board quit, that Government would step in immediately to save the taxpayers' dollars and to see what is going on and evaluate it.

Dr. BERMAN. I think we can honestly say we did that by sending staff out there to get the grant operating again.

Senator PELL. How much money was involved in this?

Dr. BERMAN. I have no figures with me on that grant, Senator.

Senator PELL. I think as a matter of record that the letter from five members of the advisory committee resigned, including the chairman, suggested in detail that the program was not accomplishing its intended mission. That letter is dated March 16.

I would ask that the letter be placed in the record at this point, and also the endowment's response to that letter dated April 9.

[The letters referred to follow:]

March 16, 1976

Ronald Berman, Director  
National Endowment for the Humanities  
Washington, D.C.

Dear Mr. Berman:

As members of the Advisory Committee of the Writing in Chicago Program we have had a close view of the Program's first year. Following the last regular committee meeting, a number of us began comparing our thoughts about the current state of things and the prospects for the Program's future. Our conclusion, both in private conversation and in an informal meeting called by Mr. Anania at the request of several committee members, is that the Program is an unqualified failure and is very likely to remain one.

We all began our involvement in this project with enthusiasm for the concepts in the Chicago Public Library's proposal, convinced that the endeavor could be intellectually valuable and reasonably popular. Thus far, the Program has failed in both areas. Most conspicuously, it has been consistently unable to attract any sustained public interest in its activities. More distressing is the apparent willingness of the Library staff to content itself with the various atrophies which have captured most areas of the original proposal.

Since the departure in January of Professor Williams, the project's public side has consisted entirely of the part-time work of two young scholars. Both are extremely capable, but both are employed elsewhere and work at the Program only two hours per week. In effect, extension courses are being offered to extremely small audiences at two branch libraries. However inventively done, these two activities hardly seem the best use of the resources of a rather substantial grant. Although alternatives were presented, the Library has been willing to let each set-back dictate a deeper retrenchment. Very little concern has been given to the absence of a Scholar-in-Residence; whatever anxiety there might have been was dispelled at our meeting by the announcement that the Endowment would be willing to have the Program do without one. In both the first and second periods of the current year the Library was either unable or unwilling to designate a third associate scholar and has decided to forego any thought of appointments for the short third term originally scheduled for late Spring. It is also apparent that although the budget makes allowances for lectures, films, and poetry readings, very little will be done in these areas beyond the two lectures and one film presented in the Fall.

Mr. Berman

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March 16, 1976

There has been an immense commitment of public money to this Program--\$134,000 budgeted through August 1976. The inevitable question is whether or not anything has happened under the Program's auspices to justify such expenditures, either in current performance or potential growth. Since the present failures of the Program seemed manifest, we focused our discussions on whether the project could be re-claimed for the next two years of proposed activity. This consideration involved a judgement of the administration of the Program and an attempt to see there the capacity for modification and change. We found very little on which to base even the remotest optimism.

As the public and scholarly aspects of the Program have dwindled, administrative costs have remained the same, amounting in available figures to nearly 85% of the total budget, with administrative salaries at almost \$24,000 for the present six month period--a period in which very little remains to be administered. These expenditures would seem defensible if the staff were productively engaged in adjusting the Program to altered circumstances or in program development; unfortunately, we have seen very little evidence of such activity. In fact, our perceptions would indicate, instead, a commitment to the present atrophy and an unwillingness to entertain either alteration or criticism. Suggestions for a lecture series to replace the second Scholar-in-Residence sequence for this year were discouraged because "the Endowment did not favor the proposal," though apparently the Endowment representative, Mr. Krieger, did not over-rule a staff initiative in this direction. Also significant from our point of view is the announcement that followed our January 30, 1976 meeting that the Library staff had "gleaned" from discussions with the Endowment the need for rotation in the membership of the Advisory Committee. Since this policy change did not, in fact, originate with Mr. Krieger and since it followed on the heels of the first committee meeting in which criticisms were made of the staff's performance, we can not escape the conclusion that the Library made the change in the guidelines in order to spare itself continued criticism from within the committee, however cautious, polite, and constructive.

After extensive discussion we have agreed that our only choice is to resign from the Advisory Committee jointly, with the strongest possible suggestion to you that the Writing in Chicago Program not be awarded funding for its two remaining years. All of us maintain our commitment to the idea of

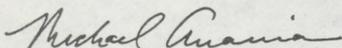
Mr. Berman

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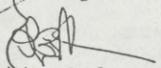
March 16, 1976

a program that could focus attention on Chicago writing. We have no commitment, however, to carefully fortress bureaucracies, which is, sad to say, all that the money and labor invested in the current program seem to have created.

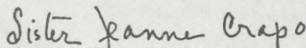
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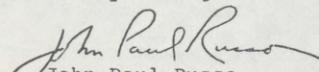
Michael Anania  
University of Illinois-Chicago Circle



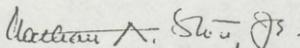
Elliott Anderson  
Northwestern University



Sister Jeanne Crapo  
Rosary College



John Paul Russo  
University of Chicago



Nathan A. Scott, Jr.  
University of Chicago

cc: David Reich  
Ralph Newman  
Terry Krieger  
Office of the Mayor

Ira J. Bach  
Claudia Cassidy  
Thomas Schlereth  
J.W. Reginald Scurr

April 9, 1976

Dr. Michael Anania  
Department of English  
University Hall  
University of Illinois-Circle Campus  
Chicago, Illinois 60680

Dear Dr. Anania:

Dr. Berman and I have discussed in detail the letter dated March 16th and signed by you and your four colleagues on the Advisory Committee, and he has asked me to respond.

I am familiar with the difficulties and problems encountered by the Writing in Chicago Program during its first year, and this familiarity prompts me to express my gratitude to all the members of the Advisory Committee. Certainly there have been failures and disappointments, but the response of the learners has been sufficiently positive, in my opinion, to warrant continuation of this experiment.

I shall be meeting with Mr. David Reich later this month to discuss the future of the Chicago program, and I can assure you that the issues raised in your letter will be carefully considered at that time.

It is customary at the Endowment to arrange for outside evaluation of multi-year experimental programs, and I believe it would be useful to institute such an evaluation in this case. The proper timing for the evaluation is after the beginning of the second year, however, since only then will the evaluators be able to judge the extent to which the program has benefited from past mistakes. Another advantage of that timing is that the comments and suggestions of the evaluators can be shared and used by grantee and Endowment alike in shaping the third year's program.

Dr. Michael Anania

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April 9, 1976

The main purpose of the program is to support the offering of formal and consecutive courses of instruction in the humanities to adult learners in the context of a public library; it follows from this that educational events of an occasional nature, while perhaps helpful as publicity for the program, are inconsistent with its main theme and not, in themselves, experimental.

Many of our grants have enjoyed the services of advisory committees; the success of that mechanism within the administrative structure seems to me always to depend on the specificity with which the role of the advisory committee is defined before its members are invited to serve. Few would be willing to serve if they thought that in so doing they would be administering the program or in any way responsible for all its aspects and details. Nor would the role of critic (in the pejorative sense) attract many recruits. I will be eager to discuss with Mr. Reich the mandate for this Advisory Committee and the desirability of closer definition or clarification of its functions.

Like you, I am committed to the idea of the program, and I am sorry that the program will no longer be able to draw on your strength and support as it develops and expands from the struggles and setbacks of this initial year.

Sincerely,

Harold C. Cannon  
Acting Director  
Division of Education  
Programs

cc: Mr. Anderson  
Sister Jean Crapo  
Dr. Russo  
Dr. Scott  
Mr. Reich  
Mr. Kocholf  
Dr. Berman  
Mr. Krieger

Senator PELL. I am concerned about this as being representative of other grants. We have fewer staff numbers than you, and have not had the opportunity to examine each grant as we would like. Perhaps I am remiss in not having GAO, instead of making a survey of just two random States, as they did, take their time and do all 50 State programs.

I thought that would be a disservice to you at the time.

Dr. BERMAN. I do have some material on Writing In Chicago grant, if you would like to hear it.

Senator PELL. Yes.

Dr. BERMAN [reading]:

The Chicago Public Library's Writing In Chicago Program is a three-year program that is offering the people of the Chicago Metropolitan Area opportunities to study the history of their city's literary culture. It is the second NEH Learning Library Program supported by the Endowment's new Cultural Institutions Program.

Like all NER Learning Library Museum Programs, the Writing In Chicago Program is an experiment—an experiment to find out whether a major metropolitan library can become a center of formal education for its community.

It is neither disturbing nor surprising for a genuine experiment to have some difficulties and, during its first year, the Writing In Chicago Program had some difficulties.

These difficulties resulted from the misunderstanding of several persons who were invited by the Library to participate in the program.

The first year's scholar-in-residence apparently believed that she could be as autonomous or detached as a scholar-in-residence at a university or research institution, and several members of the first year's advisory committee apparently conceived of the committee as similar to a faculty committee, which has (or at least can have) substantial administrative responsibilities.

The Library coped successfully with the difficulties, and the program has been going extraordinarily well. A sequence of lectures and discussions on the crucial importance of the city as a concept to the realist movement of American writing from 1890 to 1920, a sequence led by Professor Robert A. Ferguson of the University of Chicago and offered at the Edgewater Branch Library was so successful that the learners demanded more, and a new sequence led by Dr. Bernard F. Rogers of the City College of Chicago now is being offered (and enthusiastically received) at the Chicago Library.

The indications then are that the teaching is going on and that the audience response is going on at the same time that the administrative difficulties have been eradicated.

Senator PELL. I would be interested in any further information you furnish.

[Information on the Chicago Program follows:]

The "Writing in Chicago" ProgramThe Program

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Like all NEH Learning Library and Learning Museum Programs, the Writing in Chicago Program is an experiment -- an experiment to find out whether a major metropolitan library can become a center of formal education for its community. It is neither disturbing nor surprising for a genuine experiment to have some difficulties, and, during its first year, the Writing in Chicago Program had some difficulties. These difficulties resulted from the misunderstandings of several persons who were invited by the Library to participate in the program. The first year's scholar-in-residence apparently believed that she could be as autonomous or detached as a scholar-in-residence at a university or research institution, and several members of the first year's advisory committee apparently conceived of the committee as similar to a faculty committee, which has (or at least can have) substantial administrative responsibilities.

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Circle attracted so many people that a second tour has been scheduled.

The second program year begins in October with a literary festival sponsored by the Library. The second year's writer-in-residence will be Harry Mark Petrakis, whose books include Lion at My Heart, The Odyssey of Kostas Volakis, Pericles on 31st Street, A Dream of Kings, The Waves of Night, and Stelmark; his new novel The Hour of the Bell will be published by Doubleday next month. The second year's scholar-in-residence will be Michael D. Kathman, the distinguished Director of the Alcuin Library of St. John's University. Based on the public's initial response to the program's announcement, it should be a successful year.

#### Staff review

The Endowment customarily asks outside consultants to conduct on-site evaluations of multi-year experimental programs after the first year, and such an evaluation of The Writing in Chicago Program will be made during the program's second year. This evaluation will attempt to assess the impact of the grant and the implications of the grant results for future NEH grant-making for the Cultural Institutions program. This kind of extensive formal evaluation would have been premature before at least one full year had past. However, because of the experimental nature of the project, NEH staff have kept in close touch with the Library. On learning of the problems which developed during the first year, NEH staff made a visit to the Library and reviewed the project's operations. That review indicated that the first year's problems were being worked out in a highly competent manner, and that the grantee not only was complying with the grant terms but that the current activities, as noted above, were going quite well.

#### Costs

The Endowment's grant for The Writing in Chicago Program (whose grant period includes a five-month planning period and three full years of educational activities) is \$282,342,

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which is 67% of the approved total cost of the program (\$423,032). The Chicago Public Library's approved cost sharing for the program is \$140,690, which is 33% of the approved total cost of the program. But, although indirect costs are allowable costs in almost all Endowment grants, the approved budget does not include any indirect costs, either as part of the grant or as part of the cost sharing, and the Library has to absorb all indirect costs itself. So, the Library's share of the actual total cost of the program may be substantially more than 33%.

Senator PELL. It would appear to me this is basically an example of ex post facto reporting and evaluation; and it is a pretty sizable grant, I think, \$300,000.

Dr. BERMAN. The cost is as follows: \$282,342.

Senator PELL. It would appear that the comments of the initial advisory committee would favor different procedures. I am informed that this program is still subject to criticism, and if it is as badly managed as the advisory committee suggests and documents, the taxpayer is suffering from improper use of Federal funds.

Naturally, in a grant program like yours, with the millions of dollars that you would distribute in the course of a 4-year tenure, that is not a huge amount. But I think we have an obligation to follow it very carefully.

Dr. BERMAN. That obligation will be met not by evaluation right now, which is somewhat premature, but by auditing—the National Foundation on the Arts and Humanities does have a larger auditing staff than the evaluation staff. It is possible to see whether the tax moneys were spent in good faith. It is more difficult to find out the success of the program.

Senator PELL. Now, let me turn to another statement in the GAO report. It says:

The state-based program grant proposal also summarizes the prior year's activities, including a list of committee-awarded grants. This summary is accepted by NEH in lieu of the normally required final narrative report.

The summary, however, is actually not a final report on prior years' activities, because not all grant projects have been completed. NEH said no other reporting is required of the committees because their staffs have limited available time for preparing reports.

I agree with you that we want to keep paperwork down, not too many reports. But it seems to me you have so many problems from an administrative standpoint slipping between the boards under this kind of program, this kind of procedure.

Dr. BERMAN. We certainly are in agreement with this. We would like to have things as tight as possible while giving as much freedom as possible to the application.

Every grantee of the Endowment must report, in narrative form, to the Endowment at least annually. Multiyear projects require annual reports and all projects require narrative reports on their completion.

Senator PELL. In the short time of the GAO investigation, only two States were visited. In each case, says the GAO report, the committee officials generally did not know the extent to which the committee grantees were properly accounting for funds.

Quoting further from it, it states:

Since the state-based program began, NEH has audited only one committee.

Do you think that is indicative of a responsible administration; in other words, all these years, one committee?

Dr. BERMAN. Well, for most of these years, Senator, we did not have but few committees. For example, we began with six committees, and one would have been a very sizable proportion of that. It is only within the last 2 or 3 years that we have gotten the committees to be coequal with the number of States.

I think one would expect that accountability procedures for certain ratios at least should be developed. Of course, new guidelines for State-based programs, budgeting, and application, have just been implemented. This I think takes place as we have reached all 50 States.

After these 50 States have become operational we are going to demand a good deal more additional information, evaluation and auditing.

Senator PELL. I am glad.

I am glad to report, too, that the new reauthorizing legislation does take some specific steps to correct this area of concern regarding State programs.

But the point is, you have repeatedly praised the way in which the State committees, established by the Endowment, function, and you are responsible for the administrative procedures, which I find in these cases inadequate.

How do you react to this statement?

Dr. BERMAN. I do not think they are inadequate. I think there are probably improvements to be made everywhere. Something can be judged inadequate after it has functioned for a long enough period of time for an investigation to be made. We are just this year witnessing the accomplishment of creating this program. So it has to be given some time to operate before we can find out its inadequacies.

Senator PELL. Returning to the GAO report, it goes on to say that NEH grant provisions state that in case of grants for \$100,000 or more, the amount requested may not exceed that required for a 30-day period.

This goes on further to say,

We examined ten NEH grants awarded for \$100,000. In almost all cases, NEH, for various monthly periods, had advanced funds to grantees in amounts exceeding the grantee's estimated monthly cash requirements.

Why was this done?

Dr. BERMAN. This is an interesting question, Senator. It depends on two factors.

The requirements of the grantee may be judged by two sources: the grantee themselves or by GAO. We have tended to value the grantees as a superior source of information. The grantee has made out his own budget; he knows what he wants to do and he knows when the money is necessary to accomplish it.

Perhaps GAO would have us give out lesser amounts of money. All the evidence we have to work on does not suggest that.

Finally, the Endowment often, to everybody's surprise, or sometimes to everyone's surprise, will suggest that more money is necessary in a budget in order to handle an enterprise with any chance of success. We try in other words not to be too heavy with the knife. We try not to make difficulties for people, but to suggest ways in which the project may be improved, given the fact that we rely on the grantee's estimate and his own budget; and given the fact that the enterprise must after all succeed; it is only natural for us sometimes to exceed what seems to be a requirement and make advance payments.

Senator PELL. But the requirements are put in there to be honored and obeyed.

Dr. BERMAN. I would differ there, Senator. There is no legislation governing requirements. It is very much after the fact that GAO has looked at this and requirements are established by the reviewers, the National Council on the Humanities, and Grants Office of the Endowment.

Judging from that evidence, we have in every case acted in accord with the source of requirements.

Senator PELL. Is it not also a Treasury Department requirement that your large grantees may not be advanced more than is needed for a 1-month period? It is not just NEH in-house.

Dr. BERMAN. I do not know about Treasury law. I know Treasury is quite satisfied with what we are doing. You have to understand the requirements. We accept those that are construed by the application itself. At no point is there some independent body like GAO differing in requirements.

Senator PELL. My question to you was is there not also a Treasury requirement regarding that figure?

Dr. BERMAN. I am sorry?

Senator PELL. A Treasury requirement that for large grants, that money should not be advanced for more than a month ahead?

Dr. BERMAN. I do not know that as a Treasury requirement. I simply have complete ignorance. But I also can say we have not run afowl of the Treasury. They are evidently satisfied in the way money is being distributed.

Senator PELL. It is written in the GAO report, which you have, that that is a Treasury requirement. That is a pretty good requirement I think, too. The GAO report gives this example: A grantee was advanced \$100,000 in June, 1975, against a total of \$280,000. And in January, 6 months later, the same grantee had submitted no expenditure report of how the money had been used, nor had the grantee requested further payment. The report states:

It follows therefore that the grantee was advanced considerably more cash than needed for a one-month period.

Why would this occur?

Dr. BERMAN. This conceivably could be one of the areas made by the grant-making office, which is part, of course, of the National Foundation on the Arts and Humanities and not restricted to the Humanities agency.

Senator PELL. Well, I realize that errors can occur in any office; they occur in mine, yours, anybody else's. One tries to cut down that number. But your own grant requirements call for better management than this. Of the 10 large grants investigated by GAO, administrative flaws were found in what they said were almost all cases. It would be better if GAO had said, more specifically 8 out of 10, rather than in almost all.

Dr. BERMAN. I held long discussions with the GAO on the project and established from their word-of-mouth that the administrative processes of the agency were indeed very good and there were no major criticisms to be leveled. It is for that reason that I asked publication of the GAO report.

Senator PELL. Thank you.

Now, the GAO report points out the planning and analytical studies unit was formally established in November 1975, to determine the nature and extent of national needs in the Humanities, to which NEH should give attention and the impact of current policies and programs on those needs.

What has been the effect of that study?

Dr. BERMAN. The effect has been extraordinary. One of the best components of the Endowment staff right now is that concern with evaluation. Fortunately, we have in print a number of major evaluations that have taken place over the last year or so. I urge we include these in the record, first to see the level of work done by the evaluation and secondly the response by the Council.

Senator PELL. Is this unit examining what the impact of the Endowment is on young people?

Dr. BERMAN. Yes; it is working on the youth grants program.

Senator PELL. Maybe you could submit for the record just a couple paragraphs about exactly what it is doing and its recommendations.

Dr. BERMAN. We would be happy to do so.

[The information referred to follows:]

Evaluation and Analytical Studies

Beginning in mid-1973 the Endowment has augmented its planning capability by instituting formal Evaluation and Analytical units. Their activities comprise three tasks: (1) evaluation of selected NEH-supported projects; (2) evaluation of NEH grant programs; and (3) assessment of the needs in the humanities to which NEH should give attention.

1. Selected Project Evaluations

The Endowment requires all grantees to provide a final report about the activities carried out with their grant within 90 days of the grant's termination. Because of the nature of many grant-supported projects (e.g., those pertaining to research or education) the results and impact of most projects may be accurately determined and assessed only after a considerable period beyond the 90 days. This situation plus the need for an independent assessment of grantees' work had led the Chairman to institute Selected Project Evaluations and Program Evaluations as a formal and continuing staff function.

The purpose of Selected Project Evaluations is to enable NEH staff and the National Council to follow a project through from beginning to completion, and to compare the stated objectives of a project with the actual accomplishments. Projects are selected by program officers and division directors based on Council requests and on judgment about the relevance of the projects to certain policy matters or particular concerns in the divisions.

Analyses of individual projects are prepared by program personnel under the guidance of the Endowment's Evaluation Officer. The evaluations include both in-depth staff study and usually outside evaluators' assessments about the results of the project. As indicated in the GAO report, between August 1973 and February 1976 65 such grant evaluations have been prepared for the National Council. Since February 1976, 6 additional project evaluation reports have been submitted by the Evaluation Unit to the National Council on the Humanities. Some of the evaluation reports run many pages, some up to 60 pages if they include printed material produced by a grant. Attached as a sample, are copies of several shorter Selected Project Evaluation reports just as they were presented to the Council. All references to the grantee's identity are removed and have been replaced by double parentheses -- (( )) -- to indicate the omission.

2. Program Evaluations

Each year the Evaluation Unit thoroughly studies and analyzes a number of NEH grant-making programs identified by the Chairman and the National Council. Research and analysis are performed by the Evaluation Unit staff with the assistance of outside contractors and independent experts as appropriate. Although attention is given to analyses of procedural aspects of a program, the prime purpose

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of these evaluation studies is to compare program assumptions and objectives with accomplishments and to assess overall program impact. Each program evaluation is presented in report form to the Chairman and to the National Council. Program staff respond to program evaluations in written reports addressed to the Chairman, indicating where modifications in the program may be needed. The evaluation study is discussed first by the Council Committee with oversight responsibility for the program and then by the full Council. The same procedure is followed for the subsequent program staff's response.

The first program evaluation undertaken in late 1974 by the Evaluation Unit was of the experimental Youthgrants in the Humanities program begun in 1972. The recommendation in this report was that the original experimental nature of the program be re-emphasized in an effort to increase the number of young participants, thus broadening the program's impact. Program staff members are now considering options for modifying the Youthgrants program to accomplish this aim, and the Endowment is planning to make a number of grants for experimental or special youth-oriented projects in FY 1977.

For the past fifteen months the Evaluation Unit staff has been collecting information through site visits, surveys and compilation of records to provide a base for assessing the Endowment's largest program -- the State-based Program. Due to the length of time involved in necessary data collection for program evaluations, these investigations are overlapping with plans to evaluate other programs. Thus while work was underway on the State-based evaluation, during the summer of 1975, the Endowment initiated a study of the Editing Program (Division of Research Grants) and has engaged a contractor -- Herner & Company of Washington, D.C. -- to conduct a "Scholarly Editions User Survey" which will comprise part of the Editing Program evaluation report.

In addition, the Endowment is planning an evaluation of a large and highly experimental NEH effort, the American Issues Forum. This program was an Endowment-wide effort in the sense that the various grants comprising the program were made through various NEH units -- the Office of Planning and the Divisions of Public Programs, Research Grants and Education Programs.

### 3. Analytical Studies

As staff work began on the above mentioned activities, it became increasingly clear that the assessment of needs in the humanities was distinct and required separate administrative attention. While the evaluation of projects and programs could be assured of the existence of a core of data and access to it, the analytical studies unit could assume neither of these points. Too often, areas in the humanities appearing to be in greatest need coincidentally were areas in which no information was available.

-3-

Beginning in 1974 and formally established in 1975, a unit was created in the Office of Planning and Analysis to administer, through grants and staff projects, information about the humanities universe, about national needs, and about the human and material resources supporting the humanities and to apply this information to the agency's own planning and policy directions.

Areas of work undertaken by the unit are established only after extensive staff consultation with the National Council, experts in the field, individuals at appropriate public and private agencies, and other interested parties. And once established as a target area, one or more studies are supported in that area. An individual study serves at least one of three functions:

- (1) to assess the needs, met and unmet, in a specific area of the humanities;
- (2) to design, test, and implement new analytical tools; and
- (3) to develop a new pool of information on a specific area in the humanities that will, in turn, foster a more critical assessment of the needs by planners, administrators, and humanists.

In FY 1976 NEH supported five area studies, three resource studies, and one tool. These projects are in four broad areas: scholarly publication and dissemination; the role of the humanities in two-year college education; the historical development of Federal support for foreign languages and area studies; and the availability of and demand for highly trained humanities manpower.

In FY 1977-78 all areas will be increased by two or three projects. New areas to be given priority are: (1) the extent of and unmet demand for humanities programs in adult or continuing education; (2) the capacity of libraries -- public and academic -- to serve humanistic needs, (3) the humanities content of television and radio; and (4) the development of a set of measures that assess the health of various constituent elements of the humanities in the United States.

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Selected Project Evaluation: Division of Public ProgramsTitle: "A Consortium on Gerontology  
and the Humanities"Principal Investigator:Grantee: (( ))Grant Number: (( ))Grant Period: January 1, 1973 - April 30, 1974Amount: \$84,991

Reason for Selection: The grant was selected because it illustrates an attempt to bring together a range of institutions and fields of humanities scholarship to examine a timely topic with the general adult public through various formats and presentations. The grantee experienced an interesting first year, is currently in its second year, and has been visited by both staff and an independent outside evaluator. The project provides a breadth of experience and data with which to make judgements about its impact and effect.

Division staff member responsible for evaluation: Stephen GoodellDate of evaluation: January 10, 1975Objectives of Grant:

- | <u>Proposed</u>  | <u>Accomplished</u>   |
|--|---|
| 1. To communicate to the general adult public of southeastern (( )) what humanists and the humanities have to say about aging, old age, and the end of the aging process--death; | 1. The humanities, especially literature, philosophy & sociology were significant and provided a broad range of perspectives. |
| 2. To elicit responses and enter into dialogue with the adult public about these topics;   | 2. Responses were generally good but differed according to group classification.  |
| 3. To shed light on society's approach to aging and the aged and to stimulate thinking about possible alternate approaches to the individual and social issues raised;           | 3. Issues were effectively taken up through a variety of techniques, including film and o visual devices.                     |

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|---|--|
| <p>4. To communicate to interested individuals and groups outside the southeastern area the substance and results of the project;</p>   | <p>4. Many requests have come in for speakers and materials drawn from the project.</p>    |
| <p>5. To show individuals professionally involved with aging and the elderly that the humanities can substantially contribute to an understanding of the issues of aging;</p> | <p>5. The significant impact was made upon those professionally engaged with the aged.</p> |

Justification of grant: Review by outside evaluators and panel was strongly favorable. The proposal had a clear focus, relating to a pressing national interest. The central topic, aging, was described as especially suitable for humanistic examination. Organizational capacity was viewed as promising, based on extensive planning and the potential contributions of the (( .)) The proposed programs on aging seemed well conceived, involving a wide array of academic humanists and aiming at an audience of both young and old. The proposal demonstrated evidence of strong staff commitments, and the participating humanists had sound credentials. Evaluators noted that it was the first public humanities program of its kind, and could well be a model for other projects.

Grant Activity: Project activity included a two-month introductory phase featuring a series of conferences to familiarize groups and organizations about the nature of the project, and a ten-month phase which permitted forty-five individual meetings with adult groups, two extended workshop series of six and seven weeks in length, the compilation, printing and distribution of annotated bibliographies of works of literature dealing with old age, and the preparation of ETV video-tapes, audio-tapes, radio spot announcements, special programs for cable TV, and appearances on special interview and talk shows. A "Humanities Resources Guide" was prepared for libraries, and a variety of formats were attempted, including panel discussion, seminars, play and poetry readings, lecture series, and the use of film. The project dealt with a number of interrelated topics, including religious views on aging, old age and American cultural values, the treatment of the elderly in other cultures, modern views towards death, the elderly and the law, old age in fiction, aging in the pre-industrial world, and old age in modern perspectives. The project culminated with a regional conference which brought together faculty, participants, and organizational representatives to summarize and analyze each of the topics suggested by prior presentations. A booklet, Humanistic Perspectives on Aging, was printed and disseminated to institutions and groups interested in mounting similar ventures. Sites used

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for the presentations included Rotary and Lions club facilities, community college campuses, churches, community centers, retirement homes, senior citizens centers, libraries, and a Model Cities Group center. The project reached 3,000 people directly, and through ETV, cable television, radio programs, newspaper stories and accounts, and the dissemination of bibliographies and reading lists through libraries, the project has reached a far wider audience estimated at 12,000. Unanticipated spin-off results have been stimulated by project activity. Numerous requests to present the program beyond the southeastern (( )) region have been received; new educational curricula have been developed at the sponsoring institutions; and the(( )) will incorporate as part of its regular activities a humanities component. Some of the tapes have had classroom use, and are provided upon request to senior citizens organizations. The project director has been asked to appear on local radio and television shows to discuss the project, published a short article about the project in the journal Adult Leadership, and was invited to teach a course on "Aging in Humanistic Perspective" at the(( )) Community College has received a substantial subsequent grant from the Office of Education for a proposal "Development of a Comprehensive Continuing Education System for Retirees and Pre-Retirees in (( ))County," a direct outgrowth of the NEH project. And finally,(( ))Community College is supporting the publication of a local magazine containing materials written by, for, and about the elderly.

#### Outside Evaluation:

Dr. Roger B. Henkle  
Associate Professor of English  
Brown University

Dr. Henkle is a former outside evaluator for the "special projects" program in the Division of Public Programs, and is currently a member of the Program Development panel.

Dr. Henkle reviewed and evaluated the program on a two-day visit, December 5-6, and made the following report:

A first objective was to communicate to the general adult public the knowledge of how aging and the aged have been treated in various societies, and what various poets, writers, and philosophers have had to say about the subject. This objective seems to have been reached. The video-tapes present a wide range of perspectives on aging at various times and in different cultures, and they are uniformly well-produced and sophisticated. The analysis of pressures inherent in the American life-style--the emphasis on movement, on breaking up family units, on newness, on youth, and on independence--contains new ideas and syntheses. Other presentations were ably written and researched and

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effectively filmed. Project personnel have assembled an extensive and valuable bibliography of fiction, poetry and philosophical works on aging. Presentations such as poetry readings have apparently been highly effective, as have the presentations on the outlook of growing old of Carl Sandburg and Abraham Heschel. The project emphasis is on the general public, but the participants have come to feel it is as important to reach middle-aged adults as well as youth in order to alert them to the contribution the humanities can make in dealing with their own aging process.

A second objective was to elicit responses about the above issues from those who are most acutely aware of the process of aging--the aged themselves. This kind of informed response, especially from older people, has not been achieved to any great extent. There appears to be a difficult problem in dealing with older people; they tend to resist new directions in their lives, or are unable to develop, at this late stage, new interests and intellectual energy. Having rarely been asked to address the problems about values, life-styles, cultural perspectives and other questions that the humanities raise, they do not have the resources and the bent of mind to turn to them at age 65 or 70. There does not seem to be as much follow up of presentations as there might be, nor development of mechanisms for subsequent investigation of those issues by the elderly, with some few exceptions.

However, the impact of the project on the public has been significant in the case of those individuals, both academic and community people, who are engaged in dealing with older people. The impact upon their constituency, the older people, has been measurably less and is difficult to gauge. The community organizations involved are fraternal clubs, churches, and some senior citizen groups. Younger people in the area have also been target audiences, but it is too early to determine what impact the project has had on them, and the attempts to reach them so far have been relatively fragmented. A substantial target audience, older people in nursing homes, retirement settlements, or living alone, has been difficult to reach.

A third objective was to shed light on society's approaches to aging and to stimulate thinking about alternate approaches to the issues raised. Here the programs seem to have been effective. In addition, films such as "Peege" raise these issues--i.e., should older family members be kept at home, and what kinds of communication are most effective within families--and stimulate thinking about these problems among groups who rarely face them. For young adults, aging seems to be remote, and there is some doubt whether even these programs produce thorough rethinking, but the entire issue is rarely taken up in our educational curricula, and the more it is taken

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up, the more likely that a consciousness of it will develop.

An unanticipated but interesting result of the project relates to the Institute (( )) a national expert in the field, stated that his Institute, and almost none of the other gerontology Institutes that he knew about, had given serious consideration to including the humanities in their programs. He said that the NEH project has inspired him to attempt to introduce humanistic perspectives into the Institute's work and he considered it vitally necessary for national programs in aging. This has been a noteworthy accomplishment of the project. Again, the impact upon participating humanists has been significant: the project director has redesigned his academic interests significantly, has established a course on the family in America which includes a unit on aging, and has developed an interest in this field that he believes will lead him into special areas of research, especially in comparative studies of aging. Others were "transformed" by the work, especially those who are middle-aged. One professor has been given released time to develop a program on the aging for the community college. Others intend to work the issue into their lectures on history and religion. More significantly, the project has helped instill a sense of public responsibility on the part of participating scholars, beyond normal institutional or professional concerns. The likelihood of additional programs designed for public consumption with a high level of faculty involvement is great, whether projects focus upon the current theme or others.

There appears to have been an appreciable increase in demand for the project's programming as it got better known and better established. In some cases, this was rather unfocused; groups dealing with the elderly often seem to look upon the project as a source of "programs" and entertainment for their members. The demand also seems to depend upon contacts made by the project coordinators and liaison personnel; it is they who initiate arrangements with fraternal, church and service organizations. The project's files contain large numbers of letters from groups requesting the project's programs, but the ongoing vitality of the project really does seem to depend upon the vigor and imagination of the project organizers.

The work of (( )) and his staff in devising programs, in discovering resources and references in the humanities, in preparing film and lectures, has been truly remarkable in its thoroughness, creativity and sophistication. The material that the consortium has assembled and is proposing to make available to other interested groups, will help shape the content of future programs and indicates the rich resources within the humanities. Similarly, the consortium's realization that a broad-based public education program on the aging is

needed, a program that reaches adults long before retirement and old age, should lead to rethinking of the content of college courses, public or adult education curricula, and perhaps government programs. These aspects of the program will have the greatest long-term effect and impact.

Summary and Conclusions:

On the basis of a staff site visit, the grantee's report, and Dr. Henkle's evaluation, the following conclusions may be suggested:

- 1) The need to acquire what the humanities have to offer is acute among the aging. Largely because of the presentations in the (( ))project, the Project Director has decided that the central problem the aging face is one of establishing or reorienting values--often of establishing new life styles. They need to learn to read humanistic material, to put their experience in perspective, and to understand cultural and philosophical ideas that will be of use to them in organizing their lives, in facing death, in dealing with loneliness.
- 2) There are two major difficulties in programs that attempt to enhance the appreciation of the humanities. First, the target audience must be attracted to further discover on their own what the humanities have to offer in terms of content and ideas. They must learn to read, to appreciate literature, to desire to consult history and philosophy. It is a habit and bent of mind that must be acquired through custom and use; it is an objective that public programs can serve by way of introduction and sustained exposure. Further, an objective of public programs should be the approaches, methods of thinking, of analysis, comparison and evaluation that characterizes humanistic disciplines. This is a way of thinking and of approaching issues that is not easily acquired; it is one which more public programs might address.
- 3) In terms of the (( ))program, many beneficial spin-off results were unexpected, as were the internal, institutional and individual impact the project had--i.e., curriculum changes, new research pursuits, library and community college cooperation and coordination, incorporation of humanities elements in the school of gerontology.
- 4) Organizationally, the consortium arrangement and the involvement of public libraries proved an effective technique, guided by an advisory committee of persons representing these institutions as well as the constituencies served. Working through established civic and community organizations is more effective than simply setting up programs randomly and relying on publicity to generate an interest and an audience. Involving those organizations in planning helps insure participation.

By the same token, involving humanists in the planning helps insure the centrality of the humanities in the operation. Community liaison persons should be part of public programs of this scale, and publicity through a wide array of materials and techniques should be utilized.

5) The project had less of an impact upon the elderly themselves than upon persons undergoing middle age and those professionally concerned with the aged and the process of aging, which suggests that the theme is more appealing and relevant to those just beginning to face the consequence of a life cycle than those who have reached a point of culmination.

6) The issue of continuous funding by NEH of projects of this magnitude and cost is partially addressed by the fact that the advisory committee has resolved to continue activity without NEH support. The community colleges are committed as part of their function to continue such a program, and all concerned believe the obligation for continuance is now on them--participating institutions and community organization--to support and sustain the initial efforts.

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Selected Project Evaluation: Office of Planning and AnalysisTitle: "Frostburg: A Filmic Portrait"Grantee: (( ))Grant Number: (( ))Grant Period: June 4, 1972 through September 16, 1973Amount of Grant: \$10,337 (Original award \$8,990, increased by \$1,347 to \$10,337 on May 9, 1973)

Reasons for Selection: 1) One of the first Youthgrants awarded and the first Youthgrants film project funded and completed; 2) the grant was considered a "test case" from which NEH could learn whether to escalate requirements and/or supervision of future Youthgrants film projects; and 3) it raises questions about post-grant follow-up on dissemination.

Division Staff Member Responsible: Valerie Peacock

Original Purpose of Grant: The applicant, a 21 year old student in Film and Associated Media at the (( )) proposed to preserve on film a meaningful reflection of life in a rural American town. The film was designed to accurately represent the problems, the cultural contradictions, and the unique sociological attributes of Frostburg, a coal-mining town and site of a state college in Western Maryland, and to preserve for the American people a last-minute glimpse of a vital portion of the national character.

The PD proposed extensive research (by three project members under consultation) preparatory to extensive filming (by four project members) of interviews with Frostburg residents, and footage of situations, activities and environments related to the interviews and historical research collected previously. The material would then be organized into the project result: a 30-minute 16 mm documentary color film with optical soundtrack. Upon completion, the film would be entered in film competitions, offered to public television, and disseminated to schools, libraries and other possible sources of interested audiences.

Justification for the Grant: Panelists reviewing the proposal gave the project a high priority for funding dependent upon receipt of more information about technical and thematic elements of the film. There was agreement that the topic was significant and that the potential for dissemination was excellent. References indicated that the PD was a capable film-maker, and that while not historically trained, the PD would be actively advised by a historian. The panel expressed concern about how the ideas to be generated by proposed research would be realized in the film. The staff concluded that the project promised an interesting film depending on research results and the context in which the town's current condition would be placed. There was some concern, for example, that the film-makers might give a one-sided view of strip-mining which was a subject of great controversy in the Frostburg area. For this reason, the staff recommended approval for outright funding with the proviso that filming would begin only after staff review of a more detailed film outline. The Council recommended the project for funding at \$8,990 in May 1972.

Several discussions between the PD and NEH staff (regarding the need to assure a humanistic perspective, and balanced treatment of controversy, and clarification of the scope and emphasis of the film), resulted in agreement that the PD would be in frequent contact with the project's advisor and with NEH staff as the film developed, and that an outline of the film plan would be submitted for NEH review prior to commencing actual filming. A grant award letter containing these provisions was issued June 20, 1972.

Grant Activity: On June 10, 1972, in response to NEH's request, the PD provided clarification of the project as a humanities activity. Although actually pre-award, the letter was in effect a progress report. According to the PD, no basic changes had been made in goals, except in terms of specificity: "We have now limited the scope of our project in the interests of efficiency, clarity, and potential humanistic value." It was also reported that preliminary research had yielded many pertinent documents, affecting the project's new concentration on coal-mining and "the relationship between coal-mining and both the town's phenomenal growth and affluence . . . , and more recently, its very serious problems of survival." Accumulation of "vast numbers of relevant visuals" including unexpectedly fine photographs of the town and people at various stages in Frostburg's history was also reported. This

wealth of materials led to adoption of NEH staff suggestion that research be scheduled through June. Additional time for research, the PD thought, was needed to sort visuals, and to obtain a better historical perspective. Although focus had been settled on coal mining's role in Frostburg, the film's final form was still indefinite because that would depend on results of initial research and upon the substance of interviews to be conducted with historians and Frostburg residents.

Interviews with eleven persons were planned -- people would be "the bridge between past and present." Grant activity continued basically as planned -- by August 2, 1972, thirteen interviews had been filmed. To complement the interviews silent footage of the town had been shot. Hundreds of visuals (old photos, maps, etc.) had been copied -- obtained from Frostburg State College Library, and in equal numbers from local citizens. All filming was completed (except for one interview). With initial preparations for editing in progress, the problem of cutting the film to less than one hour arose, as it was evident that there was much footage of too good quality to discard. The film was budgeted for 30 minutes; the quality footage merited at least 60 minutes. NEH was informed that the PD would continue working with the amount awarded, and would request additional funds later.

The PD requested a one month extension and an increase of \$2,700 to increase the film length to 90 minutes. This request was supported by the historical advisor who pointed out that the PD's good research, skillful shooting schedules and basic insight had resulted in his amassing material for a documentary much longer than that first envisioned. Added money, he thought, would not lengthen an average film, but allow a first-rate production. The request was also supported by the technical advisor who thought the footage of exceptional quality, meriting extension to 90 minutes. In October 1972, the PD's request for the difference in cost between 30 and 90 minute films resulted in 1) staff checking project status with advisors, who reported excellent planning, historical research, and development of theme by PD, and 2) a site visit to see film. At this point, the film had been cut from 90 minutes to 60 minutes, the absolute limit the film-makers would cut, on the grounds that they would

not be associated with the shoddy result if more cuts were made. Both the work and the project personnel impressed the visiting staff. Based on the crew's "tremendous effort and sincerity as well as the film's quality," the additional funding requested (\$1,373) was recommended by staff.

Another factor in the recommendation was that the request was for production costs related to increased length only -- no request had been made for salaries. However, in December, after seeking other funds unsuccessfully, the PD requested \$2,413 from NEH for lab costs and for salaries. Prints of the film, in final form by December 16th were being prepared, although action had not yet been taken on the final request for funds. Additional funds in the amount of \$1,347 (not including salaries) were approved by the Chairman in May 1973, raising the grant total to \$10,337. It should be noted that the University of Maryland provided equipment and services to the project amounting to \$7,086. Thus, the actual cost of the film, not including the request for additional salaries, was over \$17,000.

Results Reported by Grantee: The project resulted in a 60 minute 16 mm documentary color film entitled "Frostburg: A Filmic Portrait," completed in December, 1972.

Post-grant Activity: Dissemination of the film has been handled by the project director, who indicated by phone on September 12, 1974 that he has been unable to do as much as he would like in promotion because most of his attention is now directed to new projects. In addition to the distribution activities listed below, the PD used the film to get into a graduate film program a year ago, and is also using it in efforts to gain support for four one-hour films on visionary, but neglected American artists.

The following is a summary of the film's use and related activity:

Sales:

Five prints have been purchased: one each by the Western Maryland Regional Library system, University of Maryland Baltimore Campus, Enoch Pratt Library, and two prints by Frostburg State College.

The copy owned by the regional library has been used approximately 10 times in the past year, mostly by elementary school teachers. Frostburg State has shown the film several times in response to requests from individuals and organizations. The University of Maryland's copy is being used in an American Studies course, and a course on documentary film-making, now taught by the project's camera man.

Showings:

Screenings were held in January and February, 1973, at NEH, and at the Corporation for Public Broadcasting for Youthgrants panelists, NEH staff, and Council members then attending the February Council meeting. Soon after completion, the PD showed the film in Frostburg, once at the only theatre in town, and once at a local school, reporting that the film was well-attended and well-received. After a screening, PBS concluded that the film was of regional (but not national) interest, and it was subsequently shown along with an interview of the film-makers on Channel 67 (Baltimore) with cable hook-ups to Western Maryland.

Film competitions entered:

Atlanta Film Festival - shown "out of competition"

Baltimore Film Festival - selected for inclusion in official showing

Ann Arbor Film Festival - no award or special mention

Pennsylvania State Invitational Film Festival - shown by invitation

Other activity:

The PD published a two part article on where and how to apply for film-making funds in Filmmakers News-letter, May and June, 1974.

On March 25, 1973, an extensive article with photographs of the film and film-makers appeared in the Baltimore Sun, Sunday supplement.

Staff Evaluation and Conclusion: The staff evaluation is based upon file materials (including published articles about the project), viewing of the film, on recent conversation with PD, and telephone contacts with film purchasers.

Assessment of Impact: Screenings of the film both outside and at NEH have elicited consistently favorable comments about both content and technique. Yet, although response to the film's quality has been almost unanimously affirmative, use of the film has not been as extensive as was hoped and anticipated.

Learned from Grant: The fact that a humanities film of good quality was produced, in spite of some early staff concern about focus and emphasis, suggested that it was not necessary to increase standard requirements and/or supervision for future Youthgrants. The arrangements made for thorough preparatory research, for continuing supervision and advice from humanists, and for dialogue and review with Youthgrants staff became a model for administering other film projects.

Because this was the first film grant completed, and wide dissemination was anticipated, consideration was given and provisions made for royalties, rights, and print availability to NEH which are now applicable to other film projects. Royalty provisions were included in the regrant letter issued in May 1973.

Concern about reports on post-grant activity had been expressed during application review by staff and panelists, and similar concern was again expressed upon completion of the grant, but no formal mechanism was developed for follow-up, and Youthgrants staff simply has no time for regularly

following up completed grants. If use of project results is to be adequately evaluated, a mechanism for following up on post-grant activity related to the project is necessary. If deemed sufficiently important and necessary, such follow-up, it must be noted, would require additional staff.

The financial difficulties experienced in this grant unfortunately were not atypical: most film grants to date have had similar, and sometimes more severe, problems. Cost problems encountered in this first film grant made staff more sensitive to the necessity of more accurately predicting expenses in other cases.

The most important question raised as a result of the evaluation is whether the purposes of the Endowment (and particularly of the Youthgrants program) are served when a high quality humanities film has been produced and is not widely disseminated? Does the Endowment have an obligation (not to the grantee, but to the humanities) to encourage use of the film? Does NEH have an obligation to its constituents to see to it that project results are made available to them? If so, by what means could use be encouraged? Present Youthgrants staffing does not allow for use of time on completed grants. Are there other possibilities?

If active encouragement of dissemination is not desired, or is not feasible, should NEH consider a mechanism for preserving quality work produced through its grants?

Because this grant produced an exemplary film, evaluation of it does not raise questions about administrative or grant-making problems. However, it does provide focus for considering the important problem of dissemination of project results. In this case, the question specifically is whether the goals of the Youthgrants Program are served when results are not used widely. However, that question is inevitably linked to consideration of the Endowment's position regarding dissemination of humanistic knowledge in general.

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Selected Project Evaluation: Division of Education ProgramsTitle: "Humanities and the Technological Student"Grantee: (( ))Grant Number: (( ))Grant Period: July 1, 1972 - September 30, 1973Amount: \$29,960

Reason for Selection: The Education Division seeks to foster programs which may bring the humanities to a wide variety of students and institutions. This grant represents a successful example of a humanities program designed for two-year career-occupational students.

Division Staff Member: Janice LitwinOriginal Purpose

On May 17, 1972, (( )) Agricultural College applied for a Planning grant to support curriculum revision and exploration of teaching techniques which would make the humanities more meaningful to career-occupational students. A self-study at the College--at which about half of the students are in technology programs--indicated that the academic program was helping to qualify students for employment without comparable attention to their personal development or qualifications for community citizenship. The study determined that(( )) students possessed inadequate communications skills, underdeveloped value systems, and inarticulate methodology for intellectual pursuits. The College felt that interaction between technological and academic faculties to produce a more meaningful relationship between academic experiences and anticipated work experience had been one of the unmet needs of the community college movement.

Justification of Grant

The Education Division wishes to support proposals which offer a cogent rationale for bringing the humanities to a wide variety of types of students and institutions. In June, 1972 a review panel recommended support for(( )) plans to improve humanities education in a technology-oriented community college. The panel's comments may be summarized as follows: "This proposal gives promise of assisting a relatively modest college to achieve a better humanities program. The plan is clear and indicates that a concerted effort will be made by the College to achieve its objectives." Support was recommended by the Education Subcommittee of the Council and approved by the full Council on August 17-18, 1972.

Grant Activity

A project committee was formed, consisting of three instructors released full time and one instructor released one-third time. Throughout the Planning period the committee worked in close association with an advisory committee from the technology faculty and received frequent input from faculty of the Humanities and Social Science Divisions.

At the time of the proposal, the committee's plan had called for the development of two introductory courses--one in the social sciences, the other in humanities and communications. Early in the Planning year, the committee decided that this approach was inadequate and altered the format to consist of an interdisciplinary sequence of three five-hour courses.

The committee then began to deal with the specific nature of the new courses. By winter, it had developed a tentative sequence consisting of three interdisciplinary, team-taught courses embracing English communications skills, literature, writing, history, political science and sociology. Entitled "The Human Experience," the sequence sought to place the role of the individual in perspective by moving from the familiar to broader implications and connections, from the individual to the universal. The courses at this point had a social science base. The sequence was received well by technology faculty and was approved by the Academic Affairs and Curriculum Committee in the spring of 1973.

Evaluation of the outline led the committee again to revise the content to tie it more closely to literature and history, with the social sciences playing a supportive role. The concepts of identity, community, and change formed a foundation for the final form of the sequence. The first course, "Southern Identity," was designed to deal with four major ingredients of the Southern character: community, romanticism, race, and politics. The second course would take these basic themes and apply them to the larger question of the American character, examining the ideas of democracy, nationalism, and progress. A final, more loosely structured course would focus on change, dealing with the impact of science and technology upon human attitudes, values, and aesthetics. A number of teaching techniques would be employed, ranging from lectures to small group sessions, seminars, and one-to-one tutoring and including the use of multi-media techniques. A laboratory was to be established to provide additional instruction in writing skills, reading, literature, history, and other elements of the courses for students who needed help in those areas. All of the courses were designed to stress writing ability and students would be required to keep a daily journal.

During the Planning year, members of the committee visited other community college campuses, attended national conferences, and invited NEH personnel and consultants to the campus. Three consultants from the National American Studies Faculty--from the disciplines of English, history, and American studies--visited in June, 1973, and offered recommendations regarding aspects of course mechanics, team teaching, course content, and the evaluation of student performance.

In the fall of 1973 (after the grant had expired), the College ran a pilot of the newly developed course.

#### Results Reported by Grantee

The most tangible outcome of the Planning period was the design of a humanities curriculum geared to the needs and interests of community college technology students. At the close of the Planning year, the committee felt that

this structure offers a reasonable approach to the objectives of the project. The historical, literary, and philosophical framework is specific enough to be handled within the limits of three quarters, and broad enough to confront students with universal questions. At the same time, it will offer practical insights which will prove valuable in the future and give to an opportunity to reach the 'aesthetic man' in these students in a way that is currently impossible.

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The project director stressed some of the more intangible results as well. First, the grant led to increased discussion of teaching needs between the humanities and social science faculties. Second, it fostered communication between the humanities and technology faculties, producing attitude changes in groups which traditionally had worked in isolation. Third, the faculty was impelled to consider new approaches to teaching, particularly team teaching.

The structure, approach, and concepts of the course underwent multiple revisions. Since the committee was treading on relatively untried ground, it was necessary for the members to remain openminded about the form humanities education should take. This proved to be difficult for some of the faculty. "There has been much vocal opposition to features of the program," according to the project director, "but even more noteworthy has been the silent rejection, the reluctance to become involved, the fear of the untried which characterized some of the Humanities-Social Science faculty. The irony was that the technology faculty gave greatest support to the project." The director attributed this unexpected circumstance to the technology faculty's acute awareness of the needs of its students. The resistance on the part of the liberal arts faculty was to some extent overcome by study and discussion, but the director feels that the model constructed under the auspices of the Endowment "will doubtlessly require modification. Many of the ideas incorporated have not been tested in the classroom. The committee anticipates problems. The team teaching approach will require careful management and cooperative instructors."

On the whole, however, he was convinced that the concept and approach of the program were educationally sound and sensitive to student needs, and the College requested funds to fully implement the program.

#### Staff Evaluation and Conclusion

In April, 1973, an Education Division staff member responded to a request by the project committee that she observe and assess the progress made in the planning. Her reaction was enthusiastic; she was particularly impressed by the dedication and foresight of the faculty and administration, and she felt that the committee had a sound grasp of the problems involved in designing a humanities curriculum for terminal-degree technology students. She also found the program to be excessively ambitious; since she felt it unlikely that the faculty would be able to cover more than a portion of the proposed topics, she recommended that the curriculum be narrowed down to selected aspects which could be more fully developed to give students an intensive academic experience rather than a superficial overview of a broad range of topics. Her recommendation was subsequently echoed by the NASF site team which visited the campus two months later.

In mid-summer of 1973, ( ) applied to NEH for Program support to enable the committee to fully implement the course sequence. The review panel recommended approval, stating: "There is strong evidence that the faculty have worked with imagination, intelligence, and dedication during the NEH Planning grant period. The proposal conveys a convincing honesty about students' deficiencies, which is matched by confidence in their abilities in other areas. The proposed program format, which moves from the specific Southern experience to a larger context, is based directly on the particular needs of technology students." The Council concurred in this recommendation, and in March, 1974, the Chairman awarded a grant of \$180,000 to the College.

In the spring of 1974, ( ) submitted to the Endowment the final report of its Planning year activities. The document, along with progress reports voluntarily submitted by the committee, indicate that the project achieved its stated goals of developing a specific humanities curriculum for technology students and fostering increased communication and cooperation among faculty members from the social science, humanities, and technology divisions. A large measure of the credit must go to the project director, who displayed extraordinary dedication, intelligence, and enthusiasm throughout the grant period.

The curriculum appears to have a good chance of attracting and holding student interest. It is grounded in a careful examination of the academic and personal backgrounds of the students, and it incorporates such features as a laboratory period to ensure that students are receiving basic skills instruction as well as attaining insights into the nature of the humanities. The movement from the personal to the universal appears to be entirely appropriate for a student body described as "egocentric"; the gearing of the study toward an examination of the effect of technology on society offers direct relevance to students' career goals.

The fostering of increased cooperation was a significant outcome of the Planning year. Equally significant was the gradual acceptance by liberal arts faculty of new approaches to teaching. Although their hesitation was initially a hindrance, their cautious consideration of each aspect of the plan may have provided a safeguard against a poorly conceived, hastily organized program.

At the time of ( )'s proposal for support, the Planning program was chiefly designed to assist schools in preliminary planning. Today, Planning grants are awarded almost exclusively to institutions which have already identified the goals, themes, and structure of a new curriculum and have drawn up fairly specific descriptions of courses, plans for department involvement, and so forth. The Planning grant makes possible a trial run and evaluation of the pilot with an eye toward necessary revisions, refinements, and further development. which had given so little consideration to the nature and form of the program at the time of application that it subsequently found it necessary to totally alter the original structure and content, would today have been discouraged from applying for Planning support until it had completed this spadework and was prepared to test the new curriculum in the classroom. As it is, we had no way of knowing--at the close of the Planning period--whether the newly designed curriculum would work or whether the teaching strategies decided upon would succeed, in light of only grudging faculty agreement to try them. The project director himself acknowledged that the curriculum was likely to need further extensive modifications.

The project committee's difficulty in convincing some faculty members to try the new techniques points up one of the reasons for the shift in emphasis of Planning grants toward more advanced development; the Endowment seeks to avoid expending grant time convincing participating faculty of the worth of a new program. Today we insist that faculty be sufficiently committed to a curriculum plan to be prepared to test it.

This project, however, must be viewed in terms of the original goals put forth by the College and approved by the Endowment reviewers under the old policy, and in these terms the Planning year may be viewed as a success.

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Selected Project Evaluation: Fellowships Division

Title: "The Patient as Person--Ethical and Philosophical Issues" (one of three seminars for medical practitioners supported in 1974)

Seminar Director: ((            ))

Grantee: ((            ))

Dates of the Seminar: September 9 - October 4, 1974

Grant Amount: \$30,902 (Note: The Grantee supplemented this with cost-sharing totalling \$7,771.)

Staff Member Responsible for Evaluation: Julian F. MacDonald

Dates of Evaluation: October 1974; April 1975

Process of Selecting Seminar Directors. The staff invited nominations for prospective seminar directors from a representative group of scholars, foundation officials, medical school teachers and administrators, and others. The nominations were reviewed by a five-member panel whose members were drawn from the humanities, from medical education, and medical practice; and the staff invited proposals from the nominees on the basis of the panel's recommendations, staff judgement as to the nominees' qualifications, and our wish that a range of topics and disciplines be represented among the three seminars.

Objectives of the Grant. The seminars for medical practitioners--like the Endowment's other fellowship and seminar programs for members of the learned professions outside of teaching--are based on two main premises: 1) that the knowledge and insights of the humanities help to clarify the fundamental issues facing members of these professions, and 2) that humanistic study broadens the perspectives from which practitioners in these professions view their professions and society at large. Professional training provides very limited space for consideration of the values and goals of a humane society, and busy professionals have few opportunities to stand back from their work and examine the historical, philosophical, and social dimensions of their professions. Furthermore, wishing to maximize the impact of the seminars, and recognizing that only a limited number of men and women practicing a given profession can attend seminars in a given year (C.F., 39 medical practitioners attended the three 1974 seminars), the staff concluded that preference in selection should be given to persons with substantial standing or potential in the professions.

In sum, the purpose of the grant was to enable 12 leaders, or potential leaders, from the health professions to devote a month to full-time reading and discussion with a first-rate humanist. The Endowment expected that the Seminar would help participants clarify fundamental issues facing them in their professional practice, and that it would broaden their perspectives.

To the extent that these goals are realized, the Seminar will have a beneficial effect on American medical practice and thus help to improve the quality of our national life.

The Evaluation Methodology.

1) The evaluation took place in three phases: the administration of a questionnaire, and site visits by NEH staff and an outside evaluator during the final week of the Seminar; analysis and evaluation by the Seminar staff and an outside advisory committee three weeks after the Seminar ended; and administration of a second questionnaire six months after the Seminar's end.

2) Four different groups or individuals, apart from the participants themselves, took part in the evaluation process: the Seminar Director and his assistant; a selection and advisory committee formed by the Seminar Director from outside the Grantee institution; an outside consultant appointed by NEH; and a NEH staff member from the Fellowships Division.

3) Two questionnaires were administered to the participants.

The results of all phases of the evaluation will be discussed below, following the listing (below) of the Seminar participants and a summary of the course of the Seminar.

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Summary of the Course of the Seminar. During the first week the Director introduced the participants to a humanistic discipline--philosophy--as worthwhile in its own right; and the bearing of philosophical reasoning upon the many pressing and difficult issues current in medical practice and health delivery were examined. Key philosophic concepts and modes of reasoning were presented: a discussion of the concepts of person, a basic outline of deontological ethics, and a discussion of utilitarian ethics and John Rawls' "original position." This introduction was accompanied by case studies presented by members of the University's faculty, aimed at eliciting the ethical and philosophical concerns of the Seminar from the clinical setting. These case studies raised such issues as the right to refuse lifesaving treatment; the moral issues involved in allocating scarce medical resources, and the extent to which removal of economic considerations alters or diminishes the moral issues involved in such situations; the place of issues concerning the quality of life in deciding how to treat patients with terminal or serious illnesses; and the moral weight to be given to risk taking by patients in medical treatment. In all of these presentations, basic issues concerning rights and responsibilities were raised. In particular, attention was given to the problem of balancing rights with values, and methods for negotiating moral intuitions concerning the ethical issues which arise in the course of medicine and health care. The transition from the introductory phase to the more strictly philosophical portion of the seminar was made in two sessions devoted to a history of the development of medical ethics.

In the second, third and fourth weeks of the Seminar, particular issues (e.g., human experimentation, euthanasia, abortion, suicide, genetic engineering) were examined as occasions to provide for a more thorough study of the nature of persons who are patients. What ethics is, its usefulness and limitations and what one may hope for from a marriage of philosophy and medicine were thematic to all the discussions. The Seminar closed with a consideration of how one might reconceive the patient-physician relationship and the nature of contemporary medicine and health care. It was in this latter context that the right to health care and the responsibilities of health care professionals were subjected to a critical examination.

Readings for the Seminar were drawn from both the medical and philosophical literature. Emphasis was placed upon readings in philosophy, and discussions in each session were for the most part centered on selections from the philosophical literature and arguments which could be framed in terms of them. In particular, selections were chosen from the writings of such philosophers as R. B. Brandt, Ethical Theory; Nicholas Rescher on the allocation of scarce medical resources; Paul Weiss and Marjorie Grene on the nature of man; Alasdair MacIntyre and Samuel Gorovitz whose exchange on the usefulness of ethics for decision-making in medicine was especially helpful; Jonathan Bennett, P. J. Fitzgerald and Daniel Dinello on acting and refraining; and Joel Feinberg and Gerald Dworkin on paternalism, to name some whose articles led to sustained discussion of issues. In addition, basic texts in ethics--Julius Kovesi's Moral Notions and Richard McCormick's Ambiguity in Moral Choice--were used extensively. James Rachels' Moral Problems in which are gathered together essays by philosophers on contemporary issues was used to display the usefulness of philosophical reflection for coming to grips with problems of our time. Joel Feinberg's collection, The Problem of Abortion, was the primary text for the discussion of abortion; and Paul Ramsey's work, The Patient as Person, was discussed in the contexts in which its different sections were appropriate, e.g., informed consent, death and dying, and the patient-physician relationship.

To sum up, the attempt was to introduce the Seminar participants to the literature of philosophy and to show its bearing on issues of concern for medicine and health care. In this way, the participants were introduced in an intensive and sustained way to philosophical reflection and argument concerning issues which are of concern to them as health care professionals.

#### The Evaluation.

A. Questionnaire Prepared and Administered to Seminar Participants by the Director during the Seminar's last Week. This questionnaire posed questions in the following categories: a) Extent to which the Seminar met its objectives; b) ratings of the Director and guest speakers; c) ratings of the usefulness of particular readings; and d) miscellaneous questions concerning the effect of the Seminar on participants' opinions and ways in which they anticipated it would affect their professional activities. It also provided space for comments on the Seminar's strengths and weaknesses. For the purposes of this evaluation, the principal conclusions to be drawn

from the questionnaire are:

- 1) On the average, the participants judged the Seminar successful in fulfilling a rather wide range of objectives. (See Figure 1. for a comparison of their judgements made in October 1974 and April 1975.)
- 2) ((                    )) was judged exceptionally successful as Seminar Director.
- 3) Seven of 12 participants responded that the seminar had changed their opinions on the issues discussed during the Seminar; three reported no change; and two did not respond.
- 4) All 12 stated they planned to continue the study of medical ethics, and 9 of the 12 stated their intention to develop courses for colleagues or students using the Seminar as a model.

B. The Seminar Director's Evaluation, Excerpted from His Final Report.  
The data gathered from the questionnaire distributed to the Seminar members reveal a number of at least tentative conclusions concerning its success. The success can be measured in part by comparing the Seminar participants' rating of the extent to which the Seminar achieved the initial goals which they, the participants, had set. This measurement was made by asking the participants to list their expectations concerning the Seminar during the first week, and then having them rate the extent to which the Seminar had achieved these goals. In addition, the participants were asked to respond to a case involving the treatment of an infant suffering from multiple birth defects at the beginning and again at the end of the Seminar. These essays were read with a view toward detecting the extent to which the participants were able to reason and argue in the language and methods of philosophy.

In what follows, this material is not used exclusively in forming our judgment of the Seminar's success or failure. It is coupled, in most instances, with the more "subjective" evaluations made by the Seminar Director and his assistant, plus the comments of others who attended sessions of the Seminar.

To highlight some of the conclusions reached in this manner, it seems clear that the participants came to a better understanding of what ethical issues are in general and how they bear on medicine and medical practice. In addition, the participants acquired an enhanced ability to reflect upon and clarify their own positions on many of the issues raised. In short, they acquired the language of philosophy and ethics and found it to be useful in understanding the issues of the health profession--their relations with society at large, with their patients, and with their colleagues. This development was in marked contrast to the beginning of the Seminar, when it was evident that the participants had considerable difficulty in discussing issues concerning value judgments and broad philosophical questions, apart from "gut-level responses." In short, the participants found that the humanities offered a new and distinct domain of issues that clarified the problems of the health professions by placing these problems in a broader

context: general concerns and judgments about the nature of man and of persons.

While there was, as mentioned, considerable difficulty at the beginning of the Seminar in dealing with the language, methods and literature of philosophy, by the end of the Seminar the participants found that they could read the literature of philosophy with both pleasure and profit. In fact, the participants had by the end of the Seminar developed an ability to move from "gut-level responses" to reasoned arguments, in whose participation they invited their colleagues as well as their Seminar Director. In particular, one participant presented a paper at the closing session of the Seminar in which she gave a well-argued utilitarian defense of a means of treating defective newborns. Previously, she had been able only to state her position, but not provide for it such an able defense. Another participant has recently responded to an article in the medical literature concerning the management of infants suffering from Down's syndrome and duodenal atresia. His response is clear and concise, raising ethical issues central to the care of such patients, issues which the original article failed to treat.

The participants regard themselves now as better spokesmen for patients as persons. In particular, they felt better prepared to understand and deal with the moral issues which arise in the course of their own practice, or within the scope of their professional involvement in health care. They also feel they have an increased understanding of the issues which arise outside of their own area of special interest. This increased sensitivity to moral issues as they bear on patient care is especially noted in their estimation of themselves as having narrowed the gap between their technological expertise and knowledge, on the one hand, and their knowledge and skill in dealing with humanistic issues on the other.

Finally, it should be noted that all of the participants intend to continue to study the field of "medical ethics." A majority plan to initiate formal courses in their home communities and institutions. The Seminar will thus have effects beyond the twelve participants and will reach into the health care community in many parts of the country. Similar expectations, it would appear, are appropriate for Seminars of this kind in the future.

C. Evaluation by The Selection and Advisory Committee. Dr. Engelhardt formed a Selection and Advisory Committee to assist him in selecting participants for the Seminar, to review his goals and design for the Seminar, and (after its conclusion) to evaluate its results and make recommendations for the future. The Committee consisted of the following: Dr. James Knight, Associate Dean and Professor of Psychiatry, Tulane University School of Medicine; Dr. Harry Lipscomb, Physician; Dr. Irwin C. Lieb, Associate Dean of Graduate Studies and Professor of Philosophy, University of Texas at Austin; Dr. Edmund D. Pellegrino, Chancellor at The University of Tennessee Center for the Health Sciences; and Dr. Engelhardt.

The Committee made a number of recommendations concerning emphases in the Seminar materials, structure, recruitment, and ways for extending the

Seminar idea more broadly in the profession. For the purpose of this evaluation, the Committee's most pertinent recommendations were its affirmation that humanities seminars can make an important contribution to the continuing education of health professionals and its judgement that the Galveston Seminar had been successful. The Committee recommended that NEH continue support of the seminar programs and, in particular, that the Galveston Seminar be repeated in 1975.

D. Comments of the Outside Consultant Appointed by NEH. Dr. Lester S. King, currently President of the American Association for the History of Medicine, visited the Seminar for two days during its final week and prepared a report containing comments on the participants and the discussions he observed. (Dr. King, an M.D., is a former senior editor of the Journal of the American Medical Association, a Lecturer in the History of Medicine at the University of Chicago since 1964, and a scholar in the field of medical history.) His report addressed primarily issues of special interest to the Seminar Director, viz. materials and methodology. In his more general comments he rated the participants highly for their quality, their diversity of specialization within the medical profession, and their evident interest in the work of the Seminar. While not offering any opinion as to how the Seminar might affect medical practice, his overall conclusion was that the project was an "exciting" one, and he recommended continued support. One concrete result of his visit was a highly laudatory editorial in the Journal of the AMA for February 17, 1975. The editorial strongly supported, in principle, humanistic study by medical practitioners, and he praised the 1974 NEH seminars as concrete examples of such study. By including an announcement of the 1975 Seminar program, the editorial also provided valuable help in publicizing the seminars among potential applicants.

E. Site Visit by NEH Staff Member from the Fellowships Division. The program officer in charge of the program visited the Seminar for two days during the Seminar's final week. He attended two Seminar sessions, talked informally and at some length with 11 of the 12 participants, met in informal session with all of the participants as a group, and spoke at length with the Seminar Director. The impressions gained from these meetings were uniformly positive: the Seminar discussions appeared serious and productive; all the participants expressed respect and/or admiration for( ( ) ) most of the participants were enthusiastic about the importance of the Seminar for their work, although few could suggest concrete ways in which it would affect their professional lives; and there was a sense of seriousness and commitment about the group and most of the individuals with whom I spoke. In sum, I sensed a genuine hunger among most of the participants for the kind of opportunity provided by the Seminar, and they were unanimous in stating that the month had been a "success."

F. Follow-up Questionnaire Prepared by NEH Staff. The principal staff effort to determine the impact of the Seminar on the participants was a questionnaire mailed out in April 1975, approximately six months after the end of the Seminar. This consisted of two parts: (a) eight open-ended questions focusing on participants' opinions regarding the assumptions underlying the program, and on the effect of the Seminar on their professional activities, and (b) a list of 23 questions regarding the degree to which the

Seminar had met specific objectives. Inclusion of the second part--which repeated in identical language a major portion of the questionnaire administered by (( )) at the Seminar's end--was designed to tell us whether participants' views had changed six months after the Seminar. Although only six of the 12 participants had responded when this report was prepared, their answers are summarized below:

1) On a scale of 1 (poor) to 12 (excellent), respondents average rating of the value of the Seminar to them was 11; the six ratings ranged from 9 to 12.

2) Five respondents agreed that "The knowledge and insights of the humanities help to clarify the fundamental issues which face physicians and other health professionals today." One stated that for him the questions remain "unanswered," but are "more clearly defined."

3) All six agreed that "Study of the humanities broadens the perspectives from which health professionals view their profession and society at large."

4) All six agreed that "The one-month seminars are effective means for bringing humanistic knowledge and understanding to bear on problems which arise in medical practice."

5) Two reported that the Seminar had changed their way of thinking about their profession, or about particular social or medical issues. The others gave more qualified comments, indicating that while their opinions had not changed, they now had a more reasoned basis for them.

6) Five reported that they had undertaken new activities or expanded existing ones. These included undertaking the teaching of courses in bio-ethics, or modification of existing courses; developing new contacts with persons concerned with bio-ethics; writing book reviews; participating in seminars dealing with bio-ethical questions; and finding other ways to convey to colleagues what they had learned in the Seminar.

7) All reported a new interest in reading articles and reports in the area of bio-ethics; several are reading more generally in philosophy.

On a scale of 1 (poor) to 12 (excellent), respondents' average ratings on 23 questions dealing with the extent of the Seminar's success in meeting its objectives changed hardly at all: the average rating for all participants in October 1974 was 10.00; the comparable figure was 9.8 in April 1975. Selected questions, with respondents' ratings, from this portion of the questionnaire are shown below in Figure 1. (Note: "N" is the number responding; participants' ratings in October 1974 are given in the first line beside each question, April 1974 in the second.)

Figure 1. Respondents' Aggregate Ratings for Selected Questions Regarding "...the extent to which the course helped them develop a framework for":

	N	Mean	Poor			Fair			Good			Ex- cellent		
			1	2	3	4	5	6	7	8	9	10	11	12
1. Definition of the ethical issues in medicine.	12 6	10.8 11.1							2			3	2	5
2. Clarification of your own views on these issues.	12 6	8.8 10.1						2	5	1	2	2	1	1
3. Generating new insights into the issues.	12 6	10.7 10.7							1		1	3	5	3
4. Understanding the role of humanities, philosophy in particular, in medicine.	12 6	10.1 11.3						3	1			4		4
5. Making wiser decisions.	10 6	8.8 8.7						3	2	1		2	2	
6. Understanding better the issues which arise in your own special field of health care.	12 6	9.9 10.0					1		2	1		2	3	3
7. Understanding the place of ethical considerations in your own daily practice or experience in medicine.	12 6	10.9 10.2							2	1		6		3
8. Ability to effect change in health care to respond better to patient needs in your institution/community.	9 5	8.8 9.2					1		3	2		1	1	1
							1		1			1	1	1

**Conclusions.** Given the fact that the results of a professions seminar are extremely difficult to assess, expectations regarding what it is possible to learn from an evaluation must be highly qualified. Since no research product results--and since the applicability in concrete terms to participants' professional practices is very difficult to define and may vary considerably--it seems to us that the evaluation must rest heavily on the judgements of the participants. Happily, the judgements of the outside observers who studied the Seminar coincide with those of the participants, and the opinions of all parties to the evaluation thus reinforce each other.

By all available evidence, the(( )) Seminar was a definite success in demonstrating and exploring the links between philosophy and medical practice. The participants judged this to be so unequivocally, as shown by both the initial and follow-up questionnaires, and by their comments to the NEH program officer who visited the Seminar. All of the outside observers who attended Seminar sessions, who queried the participants, and who studied course materials and the results of the initial questionnaire shared this judgement.

The evidence of tangible results, i.e., the impact of the Seminar on participants' professional activities, is spotty; and this constitutes the principal weakness in the evaluation. We don't know whether more and better data will develop in the future. (Note that only six of the 12 participants had responded when this report was prepared, and only six months had elapsed since the end of the Seminar.) We can say in this connection that the reports received so far show that the Seminar has produced some tangible fruits, discussed in paragraph F. of the preceding section. In (( )) judgement, the most meaningful effect of the Seminar has been that at least some of the participants feel they have developed a new competency in dealing with questions of human values. They are able to approach these questions, not just on an emotional basis, but in a more critical and analytical manner than formerly.

The(( )) Seminar demonstrated that there is a real hunger on the part of doctors and lawyers to work with humanistic scholars and materials, and to explore humanistic concepts related to their professional concerns. Professional associations and journals have also responded to the announcement of the program with enthusiasm, and have given valuable support.

To sum up, the results of the(( )) Seminar corroborate the staff's judgement that we appear definitely to be headed in the right direction in the program of seminars for the professions. The objective data needed to analyze the tangible impact of the program are not presently available.

Senator PELL. Can you give us at this point some view, some reaction with regard to the effect on the young?

For example, I think the National Humanities faculty which is supported by the Endowment points out that only 4.4 percent of today's secondary school graduates intend to study the humanities in college.

And the National Humanities faculty calls these statistics indeed grim.

What is the reason for this?

Dr. BERMAN. Well, I am not sure that I can answer why conditions are so bad in secondary schools. But I can say that in relationship to the problem, the Endowment has attempted to do a certain amount. We have established elementary and secondary programs with full-time staff; and we have tripled our grants, that is, law and free society, and again in African and Asian studies, in an attempt to come to grips with the problem.

As with the problem itself, you probably know more than I do; you are so closely involved with education authorizations. It is one of the widespread facts of modern technological life that elementary and secondary education has declined.

The reasons for it could be I think almost ad infinitum.

Senator PELL. As you know, one of the basic motivating forces in setting up the Humanities Endowment was to encourage our young people to get more of an interest in it.

As we just said, about 4.4 percent intend to study in college the humanities. I wonder if you would submit for the record, unless you know—there is no reason why you should—what it would have been 10 years ago and what it would have been 4 years ago when you took over the Endowment?

Dr. BERMAN. I would be happy to submit that for the record.

I can say now that 4 or 5 years ago it would be close to nothing. Right now we have a very significant program. We have a program in youth grants. Right now there is elementary and secondary staff and its own budget in the division of education programs.

Senator PELL. I am not sure you can say it was almost nothing 4 years ago. I have a hunch—here I speak as chairman of the education subcommittee—it may have gone the other way. If you check it out, you might go to statistics based on the results of surveys conducted by the college entrance examination board.

Dr. BERMAN. I am not speaking of those, Senator. I am speaking with the Endowment only.

Senator PELL. I am talking about all of the United States.

Dr. BERMAN. Of course, I have no expert knowledge on that subject. [Information supplied follows:]

## Interest in the Humanities Among Pre-College Student

Since 1972, the CEEB has gathered data on the intended majors of high school seniors taking the SAT. Due to the varying forms of the question and statistics gathered over this period, only the information gathered in 1975 and 1976 is directly comparable. For the disciplines of the Humanities and the humanitic social sciences the percentages indicating an intention to major were as follows:

<u>Subject</u>	<u>1975</u>	<u>1976</u>
English, literature	2.3%	1.9%
Ethnic Studies	0.0%	0.1%
Foreign Languages	1.3%	1.2%
History and Culture	1.3%	1.2%
Philosophy and Religion	0.7%	0.6%
<u>Social Science</u>	<u>7.7%</u>	<u>6.8%</u>
Totals	13.3%	11.8%

Authorities in the field believe that this decline can be attributed to trends in the economy and job market.

It may be noted that during the past four years NEH has acted in the area of elementary and secondary education through the establishment of a specific program with full-time staff to strengthen the humanities at the pre-college level. In the past five years funds awarded through this program have increased from \$1,533,452 in FY 72 to \$5,977,859 in FY 76.

Senator PELL. Thank you.

That would be 10 years ago, 5 years ago, 4 years ago, and today.

I am going as fast as I can. There are so many things to cover. I appreciate your willingness to answer briefly and to enlarge your answers for the record.

I am a little bit concerned with some misinterpretations, and I left this for the last item because it is the least important.

There have been various press reports, one of them headlined "Pell Tries To Politicize Humanities," which goes on to say that I advocate a program of support for the humanities aimed at putting control of State programs in the hands of political hacks and debasing the function of the National and State agencies.

Would you consider that a reasonable assessment of my intentions?

Dr. BERMAN. No; I would not. I think your intentions are such as we expressed in the discussion of our exchange over the compromise of the legislation. It is possible for the press to be exaggerated, as we have seen over the last few years.

Senator PELL. How do you define "politicization?" Would that be bringing more elected officials into a process or—what does it mean?

Dr. BERMAN. I regard that as a closed chapter, Senator, since I think there be equally and properly be said that the cooperation of State Government is desirable in the program. That is a position from which I now operate. I think anything may be politicization when political judgments are brought down to matters that should be independent of them.

Senator PELL. Then I was a little bit concerned with these words, two words, one is "grocer" and the other is "lumberjack."

I said I expected people in those occupations as amongst others to be the beneficiaries of the Humanities programs in their own terms and in their own way. They have been using this in the press in a derogatory sense with respect to this discussion.

To me, however, they are symbolic of the small businessman and of the worker in an often-lonely profession and setting. They are symbolic of the non-elite. They symbolize for me those in our country, who like all of us, are seeking improvement, greater quality in life.

Those who have a formal education, those who have not gained that education.

Are these to be excluded from the Humanities? What would be your view?

Dr. BERMAN. My view on that is best summarized by a conversation I had very recently with Julia Butler Hansen who, with yourself, is one of the two or three most knowledgeable critics of what the Endowment has done.

Julia Hansen said to me, in reviewing that exact practice, owners of mama's and papa's stores, people should know the owners of mama's and papa's stores are in fact having a good relationship with the humanities—they are all out watching the Adams Chronicles.

Senator PELL. You would agree with me that even lumberjacks and grocers could benefit by the humanities programs?

Dr. BERMAN. Everyone can. I do not see any reason not to take that very seriously.

Senator PELL. There is another quotation here: "Implicit is the attempted politicization of the agency."

I presume that means the whole agency, the whole Endowment. And I am accused of objecting to the professional use of Endowment funds.

What does professional use of funds mean?

Dr. BERMAN. I am not qualified to inquire into the motives, I think, or even the language of the materials you have. They are very much outside of the world of the humanities. At a distance, I hope, and a safe, respectful distance, I can say professional activities are those that the legislation covers.

Senator PELL. It is said about me that I prefer NEH funds go to State bureaucracies and then be disseminated to grocers and lumberjacks to enable them to practice humanities.

Do you think that is an accurate statement of my views?

Dr. BERMAN. I could not tell. I am a very bad judge on this matter. I am a very good judge on some other things, but not on this.

Senator PELL. I do not blame you at all for thinking this way. I believe these words are your own, in letters sent out to various educational leaders, and no reason why it should not be. They should be reasonably familiar to you and I am sure you recall them.

Dr. BERMAN. One interesting thing about media coverage of this trial has been that no State—

Senator PELL. It is not a trial.

Dr. BERMAN [continuing]. There has been no statement by the national Chairman of the Humanities made to any members of the press.

Senator PELL. I have not resorted to it. I do not want to see you hurt in any way in any confrontation. I want to see you go on to a good job in the private sector.

Dr. BERMAN. But not quite now.

Senator PELL. As you are aware, letters have gone out from you to various institutions, and I have had a terrible problem—I say could I put that letter in the record, and do you want to come down and testify and they said, well—and they think about all these millions of dollars in grants, and they run away from me.

These letters, I think you will agree, you sent out a letter like this, if not these exact phrases—it is unimportant—there is nothing wrong—

Dr. BERMAN. No letter for publication.

Senator PELL. You are absolutely right. You have not sent out one letter for publication.

Dr. BERMAN. And the second is, of course, I am very glad you raised the matter you began with in your opening address last week; it should be clarified.

What is meant by the statement that people are afraid to bear witness because their money will be cut off? Does that mean an imputation against the Chairman or does it have something to do with the character of the people to whom you spoke?

Senator PELL. I think it is concern they have about the reaction, what your response would be to them when they applied again. I also think it is frankly more a reflection on their lack of courage.

Dr. BERMAN. I am glad that the second seems to you to be the most attractive possibility. For the first, such a weight of evidence is needed, such clarity of thought and expression as to make plain why in ordinary life laws of libel and slander would be supplied.

Senator PELL. Maybe we could have some public witnesses. There are one or two who might be willing to come down. I am not inferring in anyway that anything you have done in this regard is improper. There is nothing wrong with sending them around to various people, your own viewpoint.

Dr. BERMAN. And indeed may it be said there is a good deal right in resisting the blandishments of reporters and refusing to hold interviews, not being quoted, let them do what it is that is their thing. There is a certain propriety of behavior that has been observed.

Senator PELL. Correct.

You know as well as I do the numbers of letters to whom you have written and what you have proposed.

Dr. BERMAN. I have written very few letters about this whole unfortunate affair that has now dragged a long time beyond its natural demise.

Some letters I have written are within my right.

Senator PELL. That is absolutely correct.

Now, returning to the main point here, where I am concerned—so the record is straight—it involved the precedent that is set by any automatic reappointment. This is what Senator Laxalt and I disagreed on. I think that in these 4-year-term appointments, precedents being set in the beginning will be very important. If people are reappointed automatically because they have not done a bad job, that then would set the pattern for the future.

My great hope in starting this legislation with the help of Senator Javits and so many others here was that there would be a turnover of people at the top and that the bureaucracy, which is in place, would give the continuity, the steadiness needed. What would be your viewpoint on that if you could separate yourself for a moment from the fact that you are the incumbent?

Dr. BERMAN. I think the same standards that determine appointments should be universal. I also think I have exceeded most of those standards, that very little in the hearing, and indeed nothing to my point of view has seriously impeded the notion that I have exceeded those standards.

Senator PELL. Senator Taft?

Senator TAFT. I have no other questions.

Thank you.

Senator PELL. There is a letter from Senator Randolph, which he asked to be put in the record, and I will place it in the record at this point.

[The letter referred to follows:]

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## United States Senate

COMMITTEE ON PUBLIC WORKS  
 WASHINGTON, D.C. 20510

September 15, 1976

Honorable Claiborne Pell  
 Chairman  
 Special Subcommittee on Arts and Humanities  
 Committee on Labor and Public Welfare  
 United States Senate  
 Washington, D. C. 20510

Dear Mr. Chairman:

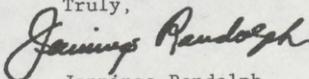
This is to commend your scheduling of Wednesday's hearing on the renomination of Dr. Ronald Berman as Chairman of the National Endowment for the Humanities.

I share your concern that this appointment has created, both in the media and in academic circles, substantial controversy. I am hopeful that the hearing will serve to ameliorate some of the policy differences that have surfaced.

My position, for the record, is that the hearing should clarify the performance of Dr. Berman as National Endowment for the Humanities Chairman, and that he is entitled to an up-or-down vote by members of the Committee on Labor and Public Welfare based upon that performance.

With very best wishes, I am

Truly,



Jennings Randolph

Senator PELL. There will be material to be furnished by Dr. Berman to be placed in the record.

A decision will be made by the Chair of the committee as to whether we will call for witnesses or not. There may be some more questions to be submitted, which I know you will answer quickly, as you always have in the past.

I have tried, as you can see, today to condense a good many questions within a short period of time. I appreciate the shortness and the conciseness of your answers in this regard.

At this point I ordered inserted in the record copies of letters previously referred to by Senator Javits by Richmond Crinkley, of the American National Theater in New York, and other letters and statements submitted for inclusion in the hearing record.

[The information referred to follows:]

# American National Theatre

AND ACADEMY • AMERICAN NATIONAL THEATRE FUND  
245 WEST 52nd STREET, NEW YORK, N. Y. 10019 (212) 541-5740

RICHMOND CRINKLEY  
EXECUTIVE DIRECTOR

9 September, 1976

MR. GREGORY FUSCO  
Office of Senator Javits  
United States Senate  
Washington, D. C. 20510

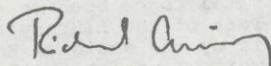
Dear Mr. Fusco:

Thank you for the information you gave me on Tuesday about the confirmation hearing for Ronald Berman as Chairman of the National Endowment for the Humanities.

As you suggested, I am enclosing a letter to Senator Javits to be entered in the material in support of the nomination, outlining my past experiences with the Humanities Endowment at the Folger Shakespeare Library and the Kennedy Center for the Performing Arts.

If there is anything further I can do in this matter, please do not hesitate to phone me.

Yours sincerely,

  
Richmond Crinkley

RC:sf

# American National Theatre

AND ACADEMY • AMERICAN NATIONAL THEATRE FUND  
245 WEST 52nd STREET, NEW YORK, N. Y. 10019 (212) 541-5740

RICHMOND CRINKLEY  
EXECUTIVE DIRECTOR

9 September, 1976

THE HON. JACOB JAVITS  
United States Senator from New York  
United States Senate  
Washington, D. C. 20510

Dear Senator Javits:

I am writing to support the nomination of Ronald Berman for reappointment as Chairman of the National Endowment for the Humanities.

Having read the recent editorial in favor of the nomination in NEW REPUBLIC, I thought that it might be well to put on the record my own experience with the National Endowment for the Humanities under Dr. Berman's chairmanship at two institutions with which I have previously been associated, the Folger Shakespeare Library and the John F. Kennedy Center for the Performing Arts.

When I was Director of Programs at the Folger Shakespeare Library, the NEH gave the Folger a three-year institutional development grant. The grant was important to the institution and was exactly the kind of grant that the Endowment should be making. I think you will agree that the Folger Shakespeare Library in the last several years has been a particularly vital force both in the Washington community and nationally. Part of the Library's success has been due to the aid given it by the National Endowment. My experience with the NEH while I was at the Folger was that Dr. Berman and his organization handled our grant application and the subsequent funding of the grant with fairness and expedition. During all our conversations with Dr. Berman and the staff, the proposal went through very sensible sharpening and honing and the history of the grant was one that all the involved parties could be proud of.

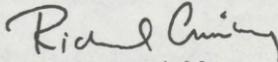
During the Bicentennial season at the Kennedy Center in Washington, I was privileged to work on a ten-party series of

American drama. The Humanities Endowment supported a series of seminars and program inserts that provided the playgoing public with a wider appreciation of the work they were seeing and its author. The Endowment grant to the Center also supported a series of readings, open free of charge to the general public, from American autobiography, from American writing about women, and from other parts of America's literary and dramatic heritage. The public response to the Bicentennial Humanities Program was enthusiastic. Again, my experience with the Endowment and with Dr. Berman was that the application was handled in a businesslike way, that the Endowment and Dr. Berman provided important counsel in the development of the program, and that the important goal of wide public understanding of the humanities was achieved.

It is my belief that Dr. Berman has carried out his charge as Chairman with imagination, fairness, and intelligence. I do not know what further could be asked of the Chairman of such an organization and I would like to strongly endorse his reappointment.

If there is anything I can do to assist in this matter or if there is any further information I can give you, please feel free to call on me.

Yours sincerely,



Richmond Crinkley  
Executive Director

RC:sf

STATEMENT OF JOHN JAY ISELIN TO THE UNITED STATES SENATE COMMITTEE ON  
LABOR AND PUBLIC WELFARE ON THE MATTER OF DR. RONALD BERMAN'S RECONFIRMATION AS  
CHAIRMAN OF THE NATIONAL ENDOWMENT FOR THE HUMANITIES

I am very grateful for the opportunity to share with the Committee my reasons, shared by my colleagues at WNET/Channel 13, for supporting Dr. Ronald Berman's reconfirmation.

As an Overseer of Harvard University and as a member of the Board of the Humanities Institute at Yale, I have watched and admired the Endowment's efforts, under Dr. Berman's direction, maintain and increase traditional educational programs through increased support for research, fellowships for two- and four-year colleges and universities, libraries, museums, historical societies, and other cultural institutions.

At the same time, my position at WNET has allowed me to witness the vision and the commitment with which Dr. Berman has helped bring the insights of the humanities, through television, to the broadest possible public.

His endorsement of major humanities projects for American television has made NEH a stimulant and a creative force for quality programming that educates as it entertains.

The Endowment was a courageous and staunch supporter, from the beginning, of THE ADAMS CHRONICLES, American public television's most ambitious -- and perhaps its proudest -- achievement to date. Over four million people saw THE ADAMS CHRONICLES during its first airing, consistently quadrupling prime-time ratings for public television stations in the nation's ten largest metropolitan areas.

Winner of four Emmy awards, the series was heralded as "A bicentennial project in ambitious conception is executed with matching taste and intelligence" (TIME), "a coming of age for educational television in America" (AMERICAN FILM), and "to date, television's finest thirteen hours" (TV GULDE).

THE ADAMS CHRONICLES, several books, and a college course based on the series comprised American television's largest and most successful multi-media educational effort to date; over four hundred colleges have offered or are offering the series as a course.

The National Endowment for the Humanities, under Dr. Berman's direction, made all of this possible. Indeed, had the Endowment not played the catalytic role of first funder, we cannot be sure that we would have secured the funds necessary to proceed, certainly not as easily. That THE ADAMS CHRONICLES passed application review procedures established by Dr. Berman -- procedures that carry credibility based on proven judgment -- was a powerful persuasion for the two funders who joined on the project. Dr. Berman's pioneering effort made it possible for the private sector to join the public, forging the best of all partnerships on behalf of the arts.

I should also note that the impact of Dr. Berman's activities in public television have not been limited to programs in which he and the Endowment have been involved. By making possible the exposure of quality humanities programming, he has encouraged television programmers in both the public and commercial systems to think more often and more positively about humanists and the humanistic approach. The results are visible.

The reconfirmation of Dr. Ronald Berman will insure continuity and the continuance of the momentum he has established at the National Endowment for the Humanities; it is with conviction and with pleasure that I urge this reconfirmation.

Very truly yours,  
[Signature]

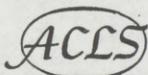
THE DIRECTOR  
NATIONAL ENDOWMENT FOR THE HUMANITIES  
WASHINGTON, D. C.

I wish to express my appreciation for the reconfirmation of Dr. Berman as Director of the National Endowment for the Humanities. His leadership has been instrumental in the growth of the Humanities in this country and has made the Humanities more visible to the general public. His efforts have been instrumental in the growth of the Humanities in this country and have made the Humanities more visible to the general public. His efforts have been instrumental in the growth of the Humanities in this country and have made the Humanities more visible to the general public.

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Very truly yours,  
[Signature]

THE DIRECTOR  
NATIONAL ENDOWMENT FOR THE HUMANITIES  
WASHINGTON, D. C.



AMERICAN COUNCIL OF LEARNED SOCIETIES

345 EAST 46TH STREET (AT UNITED NATIONS PLAZA), NEW YORK, N. Y. 10017

CABLE ADDRESS: ACOLSOCNEWYORK

TELEPHONE: (212) 986-7393

REPLY TO:  
 Frederick Burkhardt  
 R. F. D. 1  
 Bennington, Vermont 05201  
 (Telephone: 802-442-9573)

FEB 28 1976

February 24, 1976

The Hon. Jacob K. Javits  
 U. S. Senate  
 Washington, D.C.

Dear Senator Javits:

I write in support of President Ford's nomination of Dr. Ronald Berman as Chairman of the National Endowment for the Humanities. As one who has been intimately concerned with the progress of the humanities in this country and one of those who worked for the establishment of the N.E.H. I think this country can be proud of the record of the Endowment and its contribution to American culture. During the years of Dr. Berman's Chairmanship the Endowment has grown impressively and has gained the confidence of its wide constituency. Its programs have been well administered and have maintained a good balance in their response to the needs of both scholars and the general public.

I understand that Dr. Berman is being criticized in some quarters because N.E.H. has devoted a substantial share of its program funds to academic level humanistic studies and research. Those who voice these criticisms should remember that the support of humanistic scholarship was a prominent and explicit reason for the legislation which established the endowment. It was the belief of Congress that the strengthening of teaching and scholarship in the humanities was in the national interest, that it would be a source of vitality to the culture of the people of this nation. That belief was and still is a sound one, and is entirely consistent with a strong program of public diffusion and understanding of the humanities.

Dr. Berman and his staff should be congratulated for implementing the legislative intent of the Congress so effectively.

With cordial regards,

Yours sincerely,

*Frederick Burkhardt*  
 Frederick Burkhardt  
 President Emeritus

ARTHUR B. KRIM  
729 7th Ave.  
New York, N.Y. 10019

ARTHUR B. KRIM

JAN 28 1976

January 27, 1976

Senator Jacob Javits  
Senate Office Building  
Washington, D. C.

Dear Jack:

I was disturbed to read that there may be some controversy over the reappointment of Dr. Ronald Berman as Chairman of the National Endowment for the Humanities, and, since this will be coming before your Committee, I thought I would drop this note to you.

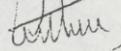
Over the past few years I have come to know Dr. Berman and something of the work of the Endowment, and I have had a very positive reaction. Mathilde, who has served on the National Council through the regimes of Messrs. Keeney, Edgerton and Berman, agrees with this evaluation.

It seems that one of the areas in which Dr. Berman is being criticized is his lack of broader delegation to State Councils. I believe there is much evidence, which, hopefully, will come out at the hearing if this becomes a central issue, that delegation to State Councils on a purely automatic basis would result in review procedures far less protective of the public interest than is now the case, and that much of the funds would then be wasted on inferior projects. The present procedures do provide for substantial support of public activities, as well as services to the academic world, and in those instances where a high quality Council could be organized, greater local input has been welcomed.

Dr. Berman, in the main, has retained the competent professional staff developed by Messrs. Keeney and Edgerton - which is to his credit - and I hope that his own dedication and hard work over the past four years will be rewarded by your support when his name comes up for confirmation.

Warmest best wishes, always.

Yours,



ABK:ce

# The New York Public Library

Astor, Lenox and Tilden Foundations

FIFTH AVENUE AND 42ND STREET

NEW YORK, N. Y. 10018

RICHARD W. COUPER  
PRESIDENT & CHIEF EXECUTIVE OFFICER

RECEIVED FEB 26 1976

February 24, 1976

The Honorable Jacob K. Javits  
United States Senator  
New Senate Office Building  
Washington, D. C. 20510

Dear Senator Javits:

It is my understanding that the President has recently sent the name of Ronald Berman to the Hill with a recommendation for his reconfirmation as Chairman of the National Endowment for the Humanities.

It seems to me the record which Ron Berman has made as an administrator, as a driving, perceptive force in the humanities, is so clear that the reconfirmation should be obvious. Nonetheless, I do write to express the desire which I, my colleagues, and trustees have for reconfirmation.

A number of us have watched the vigorous activity of Mr. Berman in his capacity as Chairman of the National Endowment for the Humanities through the past four years. We observed that in a recent day and age which has been hard science, then soft science-oriented, which has been very visually oriented, he has touted, and most successfully, the issue of concern for the humanites on a nationwide basis. The programs which he and his colleagues have so adroitly instigated bear out the concerns which he and many of the rest of us enjoy.

We think at one and the same time Mr. Berman has been a leader, has also been responsive to the expressed needs of citizens, of academics, of all those concerned with the national place of the humanities. As many of us have observed Mr. Berman as an administrator, we believe

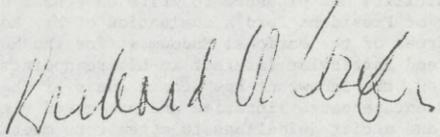
The Honorable Jacob K. Javits  
United States Senator

February 24, 1976

he has done an excellent job in, on the one hand, working with the Council and, on the other hand, recruiting and working effectively with a good professional staff.

Individually, then, and for the institution with which I am associated, I express the hope that Mr. Berman's appointment will be speedily reconfirmed.

Respectfully,



RWC:an

## THE NEWBERRY LIBRARY

60 West Walton Street, Chicago, Illinois 60610 (312) 943-9090

February 21, 1976

FEB 24 1976

The Honorable Jacob K. Javits  
Senate Office Building  
Washington, D.C. 20510

Re: Mr. Ronald Berman

Dear Senator Javits:

As Chairman of the Independent Research Libraries Association,\* it is my responsibility and pleasure to write on behalf of the organization in support of President Ford's nomination of Mr. Ronald Berman for reappointment as Chairman of the National Endowment for the Humanities. We have a strong and particular interest in his reappointment, for under his direction, the Endowment has become aware of the peculiar problems of independent research libraries and has moved vigorously within a limited budget and strict guidelines to attempt to meet some of our needs.

Hitherto, for the most part, this group of important libraries (whose combined holdings exceed eleven million volumes and who provide more than 700,000 reader days of research each year), have been virtually ignored by the Federal Government. It was not until almost all the money was gone that some of us became eligible for the Library Services and Construction Act and Title II of the Higher Education Act, for examples. Recognizing our crucial support role at the top of the pyramid of research in the humanities, however, Dr. Berman and the Endowment Staff have developed a number of modest programs to enable us to do our jobs better than we had been doing them. Moreover, understanding our "neutral" status in the academic world, he has sought to develop at various of our institutions research and education programs that would be available to faculty and students at any institution; and he has made available federal matching funds that have stimulated many of us to raise monies that we had not been raising before. In short, in my judgment, there has been no single greater influence upon independent research libraries over the last half dozen years than the National Endowment under Mr. Berman's direction.

I am fully aware of the criticisms that have been directed against the National Endowment for its "failure" to develop popular programs. I think it should be noted, however, that many of us who initially criticized Mr. Berman, because he was using Endowment money to develop popular programs, have been persuaded by his able staff to participate in them

\* American Antiquarian Society (Mass.), American Philosophical Society (Penna), John Crerar Library (Ill.), Folger Shakespeare Library (D.C.), Linda Hall Library (Kansas), Huntington Library (Calif.), Library Company of Philadelphia, Massachusetts Historical Society, J. Pierpont Morgan Library (New York), New York Academy of Medicine, New-York Historical Society, New York Public Library, Newberry Library (Illinois), Pennsylvania Historical Society, Virginia Historical Society.

-2-

heavily and to find them most exciting. In my own case, for example, I sit on the Illinois Humanities Council and the American Issues Forum, Chicago Committee. Both of these programs are designed to get the humanities out of the classroom and on to the "street" and, in my judgment, they have succeeded remarkably well. With committees made up of a mixture of scholars, administrators, and public persons (rather than merely scholars), these agencies have encouraged many citizens groups to look to the National Endowment for support in getting public issues discussed publicly, with the help of scholars whose natural inclinations are to teach, to do research, and to write books. Now they are reaching a wide out-of-school audience.

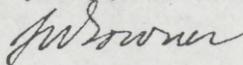
As individuals, if not as institution heads, many of us have also benefited from the other public programs originated by the National Endowment. The truly fine television the Endowment supports, the unique experience of the China exhibit, and the courses by newspaper, are among them. Nor is it only adults who have profited from Mr. Berman's programs. I had a hand in evaluating the first of several American Issues Forum television programs aimed at children and young people. My own twin thirteen year olds read the draft script of the Arthur Peach Gang show, took it to school with them, and got their fellow students' and their teachers' responses, and reported it back to me so I could report it to the NEH. This kind of involvement was an educational experience in itself, for they knew that what they said would matter, and they were immensely pleased when they saw the show finally appear as they had recommended.

I take the liberty of enclosing a copy of a recent personal letter to Senator Pell who, to our dismay, seems to have become disenchanted with the Endowment and with its Chairman. In it, I try to address some of the issues the Senator raised about the NEH, as reported in a recent issue of the Chronicle of Higher Education. As a great admirer of the Senator, I can only hope that between now and the time the confirmation hearings come to a climax, my letter will help him change his mind.

Out in the country, we think of Senators Javits and Pell as the co-fathers of this program. Indeed, in one sense we think of them as "our" Senators, for we believe the NEH has served all the people well, not just New Yorkers and Rhode Islanders. Our fifteen institutions, while concentrated in the East to be sure, nonetheless spread up and down the east coast; and two of us are in Chicago, one in Kansas City, and one in far flung California. The impact, even on us is thus felt everywhere, for scholars from all over the country (and indeed all over the world) use us.

In sum the National Endowment for the Humanities originates and supports some of the best things in American life; and I think it is partly so because of Dr. Berman's intellect, imagination, and drive. An "elite" scholar himself, he has been converted to his own cause in making the humanities a part of the life of Everyman.

Very truly yours,



Lawrence W. Towner  
President and Librarian

LWT:km  
Enclosure

THE NEWBERRY LIBRARY  
FOR YOUR INFORMATION ---

February 17, 1976

The Honorable Claiborne Pell  
Senate Office Building  
Washington, D.C. 20510

Dear Senator Pell:

Your recent remarks on the National Endowment for the Humanities, as reported in the Chronicle of Higher Education, are deeply distressing and leave me truly bewildered. In a letter to you dated September 20, 1975, I described the Endowment as "a bright star in the often murky American skies," perhaps the only bright star; and I now greatly fear that your apparent disenchantment with the agency (and its present Chairman) leaves it more exposed to Congressional neglect and disfavor than ever before. If its Father dislikes it, who can love it? I hope, therefore, that this letter, unsolicited and unprompted, may help to lift your wrath a bit.

It would be less than candid of me to fail to say that I have a strong personal interest in the continued growth and success of the National Endowment. As a citizen, a scholar, a former teacher, and now head of a great research library in the humanities, I can hardly lay claim to objectivity when it comes to the NEH. Still, I think my frank assessment, discounted for special pleading, may be of some value to you as you review your position.

My earlier letter argues against the so-called Pell Amendment. It is an honest letter, in that it says what experience had led me to believe. Yet, I almost did not send it, because I feared that I was not privy to your motives in offering the amendment. There was the possibility that you had in mind a grand design for securing the Endowment's Congressional support by mandating a distribution of some of its funds to all fifty states—a motive and a plan that I would have applauded and endorsed in that context. Nonetheless, I concluded that my letter, stressing the overall importance of your creation, would only increase your determination to proceed on your own course. I sent it, therefore, because I did not feel competent to make the political judgment.

But I do feel competent to make some observations on your remarks as reported in the Chronicle. It is ironic that your criticisms of Mr. Berman and the NEH should, by implication, focus on the same area--public programs--where he has received the most criticism in the scholarly world, but from an opposite point of view. Your criticism is that not enough money has gone to the general public and that too much has gone to scholars and to academia. Academic criticism--such as it is, and it grows less--invariably focuses on the (to us) immense sums going to

public broadcasting, courses by newspapers, state humanities councils, and the American Issues Forum (to the last two of which I have donated hundreds of hours), instead of to research and higher education in the humanities. That field had been virtually ignored (unlike the sciences) by the federal government until you funded the NEH. I think it fair to say, therefore, that the NEH, under Mr. Berman's direction, has not only given great and important support to so-called "elite" studies, it has also led hundreds of scholars—sometimes reluctantly—to seek ways to make the humanities directly and immediately "available" to the out-of-school public.

In reality, however, there is no real dichotomy between "elite" studies on the one hand, and public programs, on the other. Just as scientific research, such as that supported by the National Science Foundation, no matter how esoteric, ultimately affects the public directly, so also do humanistic research, experimental educational programs, library support programs, and the like. I feel confident in that observation, for as the head of a research library used primarily by advanced scholars, I constantly have to face the question of so-called elitism, not only when seeking public support, but also in justifying the only life I have.

But I know that the research done here, like the research done through the support of the National Endowment for the Humanities, will alter the perceptions of history and of literature and, ultimately, of life of millions of people who will never step inside the Newberry's doors, just as millions will never step inside the government-supported accelerator laboratory at Batavia, Illinois. The impact of these "esoteric" studies is greater than one immediately perceives. Historians, students of literature, philosophers—to name only the most obvious humanists—respond as Congressmen and Senators do to the perceived problems of our times. Indeed, like poets and artists, they often perceive the problems before they have become acute enough to engage the attention of the Congress. A simple cataloguing of major issues before our society, it can be said with assurance, is not a bad guide to the cutting edge of humanistic scholarship today: the problems of the blacks, Indian-White relations, ethnic communities and their relationship to the dominant culture, the disintegration of the family, sexual mores, the ghetto, housing, violence and other forms of crime, education, social values, women in society, alienation, the poor, agricultural policy, foreign policy, war, ecology, religion in American life, civil liberties—the list goes on.

To be sure, some research that humanists do, like some research scientists do, is esoteric and remote—"pure" scholarship: the connections with reality may be so remote they cannot be perceived. A "Golden Flaece" sword, for example, might well be bestowed upon a computer analysis of the numbers of actors required to fill the parts in a series of Shakespeare's plays. Yet such a study could determine how large an Elizabethan company of actors had to be, thus when a particular play was first performed, and thus a clue as to when the play was written. That might be research that would keep a great teacher (who teaches teachers of Shakespeare,

-3-

who, in turn, will reach thousands and thousands of students) charged up to teach Shakespeare effectively, because the research satisfies his curiosity. Thus, even this extreme example of esoterica can be justified, if one needs to justify it. (It was not an NEH project, by the way.) But, to belabor my point, the scholarship that goes on in a research library today, will tomorrow, or the next day, be reflected even in grade school text books used by millions of students.

I would not make the comparison myself, but since you made it, invidiously, I should, in closing, address the problem of the popular programs of the Endowment for the Arts versus the scholarly focus of the Endowment for the Humanities. Two observations should be made. First, the participation you see in the arts is viewer participation—watching, in other words. The viewers are not themselves, dancing, painting, or performing music. The nearest equivalent to viewers in the humanities is listeners at a lecture; and it would be simple to put on thousands of lectures, though not so simple to get people to listen. Instead, the humanities requires participation—discussion, reading a book, doing research—a significant commitment. Second, the mechanisms for popular communication (i.e., visual communication) in the arts already exist—museums, orchestras, ballet companies, opera companies, and the like (enhanced by T.V.), and they have strong support from the general public who pay to see. But the mechanisms for participation in the humanities will have to be created (except for schools, colleges, and libraries). People won't pay to see a scholar writing a book, alas. It seems to me that the NEH has sought with considerable vigor and imagination to create those mechanisms that will directly involve the public.

In sum, the National Endowment for the Humanities is so important to the scholarly world and to the institution that I represent (which also serves the general public), that I beg of you once more to look upon your creation with favor. It has done magnificently well.

Sincerely yours,

Lawrence W. Towner  
President and Librarian

LWT:pw

BARD COLLEGE  
ANNANDALE - ON - HUDSON  
NEW YORK 12504

OFFICE OF THE PRESIDENT

RECEIVED FEB 18 1976

February 12, 1976

The Honorable Jacob K. Javits  
New Senate Office Building, Room 4222  
First and Constitution Avenues  
Washington, D. C.

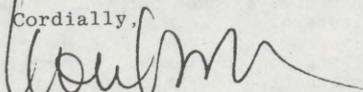
Dear Senator Javits:

I am writing to express my strong support of Dr. Ronald Berman for the continuing Chairmanship of the National Endowment for the Humanities.

While I do not ordinarily interject myself into such issues, I feel that the humanities need focused support and that a needless controversy over the re-appointment of Dr. Berman is ill-timed and counter-productive. To my mind, this is not a political matter. The objective is to strengthen the humanities in the nation and Dr. Berman has accomplished this task with distinction. He has brought an excellent staff to the Endowment and has been extremely successful at distributing funds to a wide range of institutions. He has stressed not only the preservation and expansion of the humanistic dimension in American culture with enormous integrity, but also has helped increase the popular concern for and appreciation of the humanities within the nation.

I urge you to support his continued position as Chairman of the National Endowment for the Humanities.

Cordially,



Leon Botstein  
President

LB:svk

New York University

Department of Philosophy  
903 Rufus D. Smith Hall  
Washington Square  
New York, N.Y. 10003  
Telephone: (212) 598-3262

REC'D FEB 18 1976

February 17, 1976

Senator Jacob Javits  
Senate Building  
Washington, D.C. 20504

Dear Senator Javits:

You probably recall our conversation last November in Washington, D.C. -- at the Italian restaurant where you were dining with your son -- about the work of Dr. Ronald Berman, Chairman of the National Endowment for the Humanities, of whose National Council I have been a member since 1972. You suggested that I write you giving the specific reasons for my conviction that Dr. Berman has served with distinction and exemplary leadership in furthering the interests the NEH was set up to serve. I did so in my holograph letter to you later that month.

My reason for writing you again is an article in The Chronicle of Higher Education in which Senator Pell is quoted as expressing dissatisfaction with Dr. Berman because allegedly the NEH has catered to academic rather than popular needs and tastes.

I regard it as a pressing obligation in virtue of my position as a member of the Council that has closely supervised the activities of the NEH under the guiding spirit of Dr. Berman, strongly to protest the allegation, and even more important, to contest the assumption that there is a conflict between the activities of the NEH in giving public visibility to the humanities and applying standards of intellectual excellence and integrity in the projects it has approved.

The facts concerning the underwriting of cultural and humanistic enterprises -- the exhibitions, the cinematic presentations and dramatic performances via television -- together with the thousands of educational grants for curricular strengthening of the humanities on all levels -- speak for themselves. The most significant thing about this achievement is not so much that tens of millions of citizens have been reached but that it has been accomplished without vulgarization.

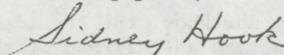
We owe this fusion of what is excellent in quality and at the same time attractive to the broad public preeminently to Dr. Berman.

Senator Jacob Javits  
Page Two  
February 17, 1976

Far from stressing a narrow and elitist view of the humanities, he has always reminded us that nothing that is good in the way of great achievement in the humanistic arts and disciplines is too good for popular appreciation. More than any other Chairman in the history of the National Endowment for the Humanities, Dr. Berman has initiated programs that have contributed both to the creation of new opportunities for humanistic expression and widened the circle of intense and effective appreciation among the public.

I am confident that even a cursory examination of the evidence will confirm this judgment. The best interests of the humanities from the perspective not of any one specific group but of the country as a whole will be served by Dr. Ronald Berman's re-appointment as Chairman of the National Endowment for the Humanities.

Sincerely yours,



Sidney Hook

Emeritus Professor of Philosophy - New York Univ.  
Senior Research Fellow - Hoover Institution

# THE NEW REPUBLIC

*Martin Peretz*

*Chairman, Editorial Board*

January 8, 1976

REC'D JAN 12 1976

The Honorable Jacob Javits  
United States Senate  
Washington, D.C.

Dear Jack,

As I'm sure you by now know, the President's decision to reappoint Ronald Berman as Chairman of the National Endowment for the Humanities is likely to run into Claiborne Pell's stubborn and capricious temperament. I have watched the Endowment quite carefully -- to be perfectly frank, in some measure, because of initial skepticism about the Berman appointment. What Berman has done with the Endowment is to combine dedication to the highest standards of intellectual and cultural work with deep commitment to democratic access and democratic participation.

Berman has been bold and at the same time always sound. His own temperament is to be cautious, but in this kind of work extreme care and reflectiveness make for initiative and original programming. Berman has also been especially sensitive to the needs of programs which would comment themselves to you and me but have never been the recipient of great foundation largesse. I do not know, for example, whether the greatest research and scholarly institution on the culture of Eastern European Jewry, YIVO Institute for Jewish Research in Manhattan, would exist today if Berman and his staff had not seen the historic need and opportunity to deepen its programs. In my view, also, probably no man in America -- not even Thomas Hoving -- has done more behind the scenes but concretely to get millions upon millions of Americans to feel that they own our country's museums and that what is shown in them holds out pleasure and education for the people.

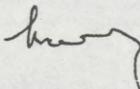
If you feel it worthwhile, I would be happy to speak to you about this further. I just wanted to communicate to you here my feelings about Berman. But you should also know that throughout

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the country, thousands of scholars and teachers -- and also therefore their students -- owe Berman a considerable debt for the programs which he often helped initiate and in any case to which he was open.

Anne and I send our warmest and best to you and to Marion.

Sincerely,

A handwritten signature in cursive script, appearing to be 'Henry', written in dark ink.

MP:gs



# THE AMERICAN JEWISH COMMITTEE

WASHINGTON REPRESENTATIVE ■ 818 18th Street, N.W. ■ Washington, D.C. 20006 ■ (202) 298-8767  
Hyman Bookbinder

February 5, 1976

Honorable Jacob Javits  
321 Old Senate Office  
Washington, D.C. 20510

Dear Senator:

Some recent articles have suggested that there might be some problem about the resignation of Dr. Ronald Berman as Chairman of the Endowment for the Humanities. I write to express the hope that these reports are inaccurate.

It happens that 20 years ago — ten years before its actual authorization by the Congress — I was involved in the initial efforts to create endowments for the arts and the humanities. I was then a legislative representative for the AFI-CIO, working with Andy Bielmler. I have followed the work of the endowment closely through all these years.

It is my judgment that during the years that Dr. Berman has directed the Humanities program, there have been exciting and innovative developments that should make all of you in the Congress proud of what you have made possible. Because of my interest too in public television, as a member of CPB's advisory council, I have been very impressed with the Endowment's support of superlative programming — including the current Adams chronicle. And in connection with my present work, I have been most pleased to note support for studies in the immigration and resettlement field, including the victims of the Nazi holocaust.

Dr. Berman has been personally involved in all of this remarkable progress. He is an unusual public servant. It is difficult to believe that the Senate would not readily welcome the re-appointment of one who has so impressively proved his capacity for the post.

Sincerely,

Hyman Bookbinder  
Washington Representative

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STANFORD UNIVERSITY  
STANFORD, CALIFORNIA 94305CENTER FOR RESEARCH IN INTERNATIONAL STUDIES  
Room 463, Building 460

REC'D JAN 31 1976

January 28, 1976

The Honorable Jacob Javits  
Suite 326, Old Senate Office Bldg.  
Washington, D. C. 20510

Dear Senator Javits:

While I was in Washington last week, I happened to see an article in the Washington Star describing what seems to be an emerging controversy about the possible appointment of Dr. Ronald Berman as Chairman of the National Endowment for the Humanities. The account troubled me since I served for six years as a member of the National Advisory Council to the Endowment, much of that period under the Chairmanship of Dr. Berman. It is against this background that I write you.

I became a member of the National Advisory Council in 1968 when it was functioning under the directorship of Dr. Barnaby Keeney. His successor in an acting capacity was Dr. Wallace Edgerton who, in turn, was followed by Ronald Berman. As a scholar with deep personal interest in the humanities, I took a very lively interest in the Endowment's activities and, for the last three years of my term, served as Chairman of the Council Committee charged with the oversight of the activities of the Endowment's Research Division. In this capacity I had somewhat unusual opportunities to observe the professional activities of NEH and to form an opinion about the manner in which they conducted their affairs. I emerged with the following views.

The fortunes of the National Endowment have never prospered more than under Dr. Berman's direction. While this was facilitated by the very sizable increases in budget that became available during these years, this rapid increase in affluence also created particularly difficult problems of adjusting to new scales of operation, of identifying and dealing effectively with new opportunities and fields of endeavor and of doing all of this in ways that were efficient, responsible, and responsive to both their initial mandate and their subsequent charges from both the Congress and the Administration. In my judgment Dr. Berman, assisted by a truly outstanding staff, has consistently done an

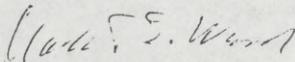
The Honorable Jacob Javits  
January 28, 1976  
Page 2

admirable job in all of these respects. I know of no national grant-giving program that conducts its affairs with more openness, more attention to basic principles of public responsibility, or more efficiency than the National Endowment for the Humanities. A great deal of the credit for this should be assigned to Dr. Berman.

I was particularly disturbed by those sections of the article in the Washington Star that imputed to Dr. Berman a lack of constructive concern for grass roots activities calculated to spread humanistic knowledge and appreciation as broadly as possible among the American people. As a long-time member of the National Advisory Council, I simply found this impossible to believe. My own role in the Endowment's activities was such that I was constantly seeking to protect the interests and budget of the Endowment's Research Division against the encroachments of other divisions with equally legitimate interests. In these circumstances it was always clear to me that my most potent adversary was the Division of Public Programs which at times seemed, from my admittedly biased viewpoint, to be receiving ever larger shares of the total budget. Since this is the division that is responsible precisely for grass roots activity and the operations of the state-based humanities councils, I find it very difficult to believe that either Dr. Berman or the Endowment can be charged with neglect on this score.

I hope that you will excuse my going on at such length but I would hate to see Dr. Berman's chances for reappointment diminished on the basis of charges that in my experience seem to lack substantial merit.

Sincerely yours,



Robert E. Ward  
Director

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Senator PELL. I recess this hearing in behalf of Senator Williams subject to the call of the Chair.

[Whereupon, at 12:15 p.m., the hearing in the above-entitled matter was adjourned subject to the call of the Chair.]



Senator William T. Cross this morning in behalf of Senator William  
 which is a part of the bill.  
 The report of the committee on the above-mentioned matter  
 was reported to the committee on the bill of the Chair.

