

# APPLICATION for GRANT

Social Science Research Council

1. Name \_\_\_\_\_
2. Present address \_\_\_\_\_ 3. Telephone number \_\_\_\_\_
4. Permanent address if different \_\_\_\_\_
5. Date of birth \_\_\_\_\_ 6. Place of birth \_\_\_\_\_ 7. Country of citizenship \_\_\_\_\_ 8. Marital status \_\_\_\_\_
9. Number and relationships of dependents \_\_\_\_\_
10. Academic degrees (with names of institutions, fields, and dates) \_\_\_\_\_
11. Present position (Give title, institution, and salary) \_\_\_\_\_
12. Concise descriptive title of project \_\_\_\_\_
13. If grant is requested for travel, list places to be visited \_\_\_\_\_
14. Period for which grant is desired: Duration \_\_\_\_\_; beginning \_\_\_\_\_; ending \_\_\_\_\_
15. Give names, positions, and addresses of three persons best acquainted with your project and your ability to execute it. (Please include the name of at least one person who is recognized as an authority in your field of research.) \_\_\_\_\_
16. Estimates of major categories of total expense for the period for which grant is desired:
- |       |          |
|-------|----------|
| _____ | \$ _____ |
| _____ | \$ _____ |
| _____ | \$ _____ |
| _____ | \$ _____ |
| _____ | \$ _____ |
| _____ | \$ _____ |
| Total | \$ _____ |
17. Income expected from other sources for the same period (Specify):
- |       |          |
|-------|----------|
| _____ | \$ _____ |
| _____ | \$ _____ |
| _____ | \$ _____ |
| _____ | \$ _____ |
| Total | \$ _____ |
18. Amount requested from Social Science Research Council \$ \_\_\_\_\_
19. Are you applying elsewhere for financial aid? (Specify) \_\_\_\_\_
20. Applicant's signature \_\_\_\_\_ 21. Date of application \_\_\_\_\_

Otto Kirchheimer

516 Fayerweather Hall Columbia Univ. New York 27 N.Y.  
Home  
xxxx 2801 Beechbank Rd. Silver Spring, Md.

Ext. 2301  
(301-564-5635)

11.11.05 Heilbronn, Germany U.S. married

two ( wife and son)  
Dr. jur. Bonn (1928)

Professor of Government, Columbia University, (\$ 16,000.-)

The Realities of Political Responsibility: Parliament and  
Party in Western Europe

England - Germany - France - Italy - Switzerland - Austria

16 months January 1, 1965 July 1, 1966

Professor David Truman, Dean, Columbia College, New York 27, N.Y.

Professor Val Lorwin, History Dept. University of Oregon, Eugene, Ore.

Living exp. spring term 65	5,300.-	Additional grants or	
Liv. exp. spring term 66	5,300.-	private funds (see D p.6)	900.-
	1965		
excess liv. cost abroad	700.-		
travel	700.-		
material, typing etc.	200.-		
	12,200.-		11,300.-
		if grant can be given for one term	
		only	\$ 6,000.-
	not at the moment (see D p.6)		

**SUGGESTED FORM OF ESTIMATED BUDGET  
FOR PERIOD OF FELLOWSHIP:**

Period for which Fellowship is requested: . . . . . months  
 Contemplated period of Fellowship: From . . . . .  
 To . . . . .  
 Place or places where you plan to carry on your proposed studies :

**ESTIMATED EXPENSES:**

Expenses of travel incident to Fellowship grant:  
 Transportation (for yourself).....\$.....  
 Meals and lodging while travelling (for yourself)\$.....  
 Allowance for travel of your family, if any... \$.....  
 Research incident to Fellowship grant..... \$.....  
 Clerical help incident to Fellowship grant ... \$.....  
 Equipment incident to Fellowship grant ... \$.....  
 Total ..... \$

Estimated other expenses:  
 Living expenses for your family, if any \$  
 Other expenses ..... \$  
 ..... \$  
 Total ..... \$  
 Total Estimated Expenses \$

**ESTIMATED RESOURCES:**

Sabbatical, or other leave, salary..... \$  
 Other income ..... \$  
 Sum requested as Guggenheim Fellowship grant \$  
 Total Estimated Resources \$

What post-doctoral Fellowships have you held since January 1, 1954?

And for what total number of months? \_\_\_\_\_

Have you pending an application for another grant or scholarship or Fellowship for the same or similar studies and period as your application to us? \_\_\_\_\_. If so--or if you have received another award--please write us any facts which seem to you to be relevant.

Signature \_\_\_\_\_ Social Security No. \_\_\_\_\_

Home Address \_\_\_\_\_

Single, Married, Widowed, Divorced \_\_\_\_\_

Ages of children, if any \_\_\_\_\_

Current annual salary (S) \_\_\_\_\_ or earnings (E) \_\_\_\_\_

Title of present position \_\_\_\_\_

Institution \_\_\_\_\_

eight

June 1 1965 - February 1, 1966  
February 1, 1966

Paris - Bonn - Washington DC

350.-

350.-

100

100

900.-

900.-

900.-

2,000.-

6,000.-

8,000.-

Rockefeller Foundation Fellowship 18 months  
18 months

yes

577-4807764

2801 Beechbank Road, Silver Spring, Md.

married

18

16,000.-

Professor of Government, Columbia University

# Social Science Research Council

230 Park Avenue, New York 17, N. Y.

Murray Hill 9-1623

## INSTRUCTIONS FOR APPLICANTS FOR GRANTS AND FOR FACULTY RESEARCH FELLOWSHIPS

Forms for use in filing an application and securing supporting letters of reference are enclosed herewith.

### THE APPLICATION

The following items should be mailed to the Council by the applicant on or before the specified closing date:

1. The form "Application for Grant". (Please submit only one copy, retaining the other copy for your own file.)
2. Supplementary Statements (A) – (G), described below.
3. The self-addressed postal card form "Acknowledgement of Receipt of Application".

*The application and supplementary statements will be reproduced by a photographic process for use by the Committee members. It is therefore essential that they be written on translucent paper, on one side only. A supply of paper is enclosed herewith. If additional sheets are needed, please be sure that they are equally translucent. For typing, either use a fresh, well-inked black ribbon, or insert a reversed sheet of carbon paper at the back of the page. For handwriting use black, not blue, ink. As we lack facilities for retyping, it is sometimes necessary to return insufficiently dark copy to applicants for retyping.*

### SUPPLEMENTARY STATEMENTS TO BE INCLUDED

*Please prepare the following statements in single-spaced typewriting. Please place your name at the top of each page and number pages in sequence, the printed Application form being page 1. Statement (B) must begin on a new page, but this is not necessary for Statements (C) – (G).*

(A) A description of the project for which assistance is sought. This should not exceed four pages in length, and should indicate your objectives, methods, materials, and the nature of the results which may be expected. This statement should also indicate your contemplated time-schedule, and itinerary if any.

(If you are applying for a grant under a special program under which collaborative projects are eligible, and your plans involve junior colleagues or students who are expected to derive training from participation in the research project, explain in Statement "A" the proposed nature of their participation, and give names and positions of those who will have active roles in planning or directing the research.)

(B) A brief summary of progress already made on the project, and mention of any other closely related work you have done. (Please state here what relation if any the proposed project has to your Ph.D. thesis.) If travel abroad or the use of foreign-language materials is contemplated, indicate with what degree of facility you can use the requisite language or languages.

(C) If pertinent, a statement as to what assurances you have received from individuals, institutions, or government agencies, of cooperation or authorization to carry out your project. If foreign travel is to be undertaken, indicate whether passport, visas, and transportation have been secured or promised.

(over)

(D) Further explanation of financial estimates: If not shown in items 16 and 17 on the application blank, please indicate specifically estimated outlays for own travel, travel of others, equipment and supplies, clerical or research assistance, and any other major items. Also state what efforts you have made to obtain support from other sources, including your own institution; and indicate what response has been received.

If your budget includes an allowance for your own living expenses, please make quite clear whether this represents full or partial maintenance in lieu of salary, or only the excess cost of living away from home. The period for which a maintenance allowance is requested should be specified here, as it may not necessarily be the same as the period during which the grant may be available to meet other expenses. (If your budget includes allowances to collaborators, give their names and the amounts requested for each one's maintenance and expenses.)

(E) A chronological list of: academic and professional positions you have held (including your present position); previous residence or travel in any foreign countries to be visited.

(F) A list of your principal publications, especially those most relevant to the present project. Give dates and names of publishers of books and complete citations for articles and monographs. Please indicate whether or not a copy of each item is available for loan to the Committee, but do not send publications unless requested.

(G) A list of sources and amounts of all previous support received for work related to this project.

(H) If application is for research outside the United States, list your previous visits to countries where research is to be done including year, duration, and purpose of each visit.

#### REFERENCES

Item 15 of the application form calls for the names and addresses of three persons who can testify as to your qualifications. Please send to each of these persons a "Confidential Report" form, a copy of the covering letter headed "Request for Confidential Report", and one of the return envelopes supplied herewith. This should be done at the same time that the application is filed, as it is important that the reports be received without delay. Before distributing these, please enter your name and that of the person who is to write the report at the top of *both pages* of the "Confidential Report" form. Please note that these reports are to be mailed by the writers directly to the Council in the return envelopes supplied. You may find it advisable also to send them copies of the pertinent part of your application, unless they are already intimately familiar with your plans.

The Council may ask others to appraise your application, but will assume no obligation to send reminders to persons named as references by applicants if they fail to respond.

#### NOTICE OF OTHER APPLICATIONS OR AWARDS

It is to be understood that you will immediately notify the Council if after filing this application you make application for supplementary or alternative support from another source, or if you receive notice of action on any pending application for such support.

#### RETURN OF UNUSED APPLICATION FORMS

If for any reason you decide not to file an application, please return to this office all of the enclosed forms. This request is made both in the interest of economy, and to avoid misunderstandings which might result from their use by others.

JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION  
551 Fifth Avenue New York City 10017

Memorandum Concerning Payment of Fellowship Grants

Our usual procedure is to establish in advance a schedule of payments which will be convenient for each Fellow. Before you make up your mind about your schedule of payments, we suggest you consider the income-tax memorandum we have sent you. This schedule may be changed in the course of your Fellowship, if you decide you wish to change it.

Quarterly Payments

Payments are generally made in quarterly installments. It is not feasible for us to arrange monthly payments of grants.

Most Fellows in the United States or abroad prefer us to deposit installments directly to their U.S. checking accounts. We make such payments about a week before the first of the month that begins any quarter of a Fellowship.

In case of foreign travel, a Fellow may prefer to receive installments of his grant in the form of American Express travelers cheques. It is easy for us to arrange delivery of travelers cheques abroad.

If a Fellow opens an "external account" in England or a dollar account elsewhere (where dollar accounts are permitted) we can arrange for deposit of payments to that account.

Expenses Incident to Fellowship

Fellows may draw against their grants in advance for payment of traveling expenses, or other expenses, if they wish to do so. A request for such an advance should not be made until a reasonable time before funds are actually to be expended for such purpose.

The balance remaining in a Fellowship grant may then be paid in quarterly installments, as outlined above.

Date of Beginning

Will you please send us a note a couple of weeks in advance confirming the exact date you plan to begin your Fellowship studies? Also, then, please instruct us when and how you wish your grant paid.

Addresses

It is requested of Fellows that they keep the office of the Foundation informed of changes of address as they occur -- or, preferably, before they occur -- during the course of their Fellowship studies.

**SOCIAL SCIENCE RESEARCH COUNCIL**  
230 Park Avenue, New York 17, N.Y.

**INSTRUCTIONS FOR GRANTEES AND FACULTY RESEARCH FELLOWS**

*In awarding fellowships and grants the Council indicates its confidence in the ability and integrity of its appointees, and has no desire to burden them with detailed rules and regulations. The following paragraphs set forth some policies which have been found mutually advantageous to the appointees and to the Council, and which are to be applied with discretion in differing situations.*

**1. Committee Action Subject to Review** - All actions of committees on fellowships and grants are subject to review by the Board of Directors of the Council at its discretion.

**2. Adherence to Stated Program** - The fellowship or grant is offered in support of the program set forth in the application or agreed upon in subsequent correspondence. If execution of this program is to be abandoned, radically changed, interrupted, or postponed beyond the time proposed in the application, the Council's approval must be secured in advance or the award will automatically lapse. The Council reserves the right to withhold or to recover all or a pro rata part of the stipend in such cases.

Permission to postpone or interrupt the tenure of an award for more than one year will not normally be granted; postponement or interruption for a shorter time may be authorized at the Council's discretion.

**3. Other Employment** - It is understood that during the tenure of an award, the recipient will not undertake any other employment except that which has been specified in his application or stipulated in the terms of award.

**4. Concurrent Financial Support from Other Sources** - In awarding stipends account is taken of estimated total support from all sources. Therefore it is to be understood that the recipient will notify the Council of any other assistance received for the same program, and that the Council reserves the right to readjust its own grant accordingly.

**5. Use of the Council's Name** - The holder of a fellowship or grant should carefully avoid giving the impression that he is an employee of, or that he is carrying on investigation on behalf of, the Council. It is not improper, however, to refer to the fact that the project has been aided by the Council's award. In publications based on research aided by a fellowship or grant, acknowledgement of the Council's assistance may properly be made in a footnote or prefatory note, but not otherwise.

**6. Copies of Publications** - The Council will be grateful for the gift of one copy of any book and one reprint of any article based on work aided by the fellowship or grant.

**7. Report** - At the end of the term of the fellowship or grant, the recipient is expected to submit to the Council a report on the work accomplished. This report, which need not be more than five or ten pages in length, should include a statement of the present status of the research and any plans for its continuation, and if appropriate, brief mention of salient findings or conclusions. As a guide in determining policies with respect to future grants, the Council will also appreciate an approximate statement of expenditures, together with any pertinent comment; this request does not imply intent to audit the disbursement of funds.

**8. Payment** - Payment will be made directly to the fellow or grantee. Small grants are ordinarily paid in a lump sum; larger grants are ordinarily paid in quarter-yearly installments, except that allowances for maintenance in lieu of salary are ordinarily paid in monthly installments. Other schedules of payment can be arranged if foreign travel is involved or large expenses must be met at particular times.

At least two weeks' notice should be given when any change of payment schedule is desired.

**9. Communications** - Fellows and grantees are expected to keep the Council currently informed of their mailing addresses while traveling.

In order that the Council may keep its general mailing lists up to date, fellows and grantees are invited to continue to notify the Council of subsequent changes of permanent address.



# Social Science Research Council

230 Park Avenue, New York 17, N. Y.

Murray Hill 9-1623

August, 1962

## M E M O R A N D U M

TO: Recipients of the Council's Fellowships and Grants  
SUBJECT: Taxability or Exemption under Federal Law

This memorandum has been reviewed by legal counsel, in whose opinion it is a correct summary of the pertinent provisions of the Internal Revenue Code of 1954 and regulations thereunder.\* It must be noted, however, that the Council is not qualified to offer legal advice in particular cases.

The provisions here summarized apply to amounts received after December 31, 1953.

### 1. Fellowships held by candidates for academic degrees.

In the case of a scholarship or fellowship received by a candidate for an academic degree, the basic grant generally may be excluded from gross income, and thus need not be reported on the recipient's Federal tax return. Supplementary allowances specifically designated for research expenses, clerical help, equipment and travel (including the recipient's meals and lodging while traveling and an allowance for family travel) incidental to the purpose of the grant may also be excluded from gross income. The exclusion of supplementary allowances is limited, however, to the amounts actually expended for these purposes during the term of the grant or within a reasonable time before and after such term. Any unexpended balance should be included in the recipient's gross income for the year in which the grant terminates, unless the balance is returned to the Council. The regulations state explicitly that the study or research leading to a degree need not necessarily be performed at the degree-granting institution.

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\* Internal Revenue Code of 1954, section 117 (68A Stat 38); Regulations, sec. 1.117 to 1.117-4 (21 Federal Register 4869), as amended by T.D. 6456 (25 Federal Register 2420).

2. Fellowships held by persons who are not candidates for academic degrees.

The Code excludes from gross income limited amounts received as fellowship grants by fellows who are not candidates for degrees. The amount excludable in any year cannot exceed \$300 times the number of months for which amounts are received under the grant during such year. A given individual is entitled to this exclusion for an aggregate period, continuous or intermittent, of not more than 36 months at any time subsequent to December 31, 1953. The 36-month period includes every month for which exclusion is claimed, even though the grant for that month may be less than \$300. If in any month fellowships are received concurrently from more than one donor, the amounts received are aggregated for purposes of applying the above exclusion rule, but that month is counted only once in determining the number of months for which amounts have been received.

If the basic grant does not exceed the rate of \$300 per month for the specified term of the fellowship or grant, it is immaterial whether the money is received in a lump sum or in installments. If however this rate is exceeded, the time and manner of payment are important because any amount received in excess of the rate of \$300 per month must be reported as taxable income in the year in which it is received.

Any amount granted over and above the basic grant and specifically designated as an allowance for research expenses, clerical help, equipment and travel (including meals and lodging while traveling and an allowance for travel of the recipient's family) incidental to the purpose of the fellowship may be excluded from gross income without regard to the \$300 per month limit. Amounts so received may be excluded only to the extent that the allowance is actually expended for such purposes during, or within a reasonable time before and after, the term of the fellowship. Any unexpended balance retained by the recipient is includable in his gross income in the year of termination of the fellowship. (See paragraph 3A, below.) An expense allowance may not be excluded from gross income if incident to a grant received by a fellow who has exhausted his 36-month exclusion period.

3. Grants for research to persons who are not candidates for academic degrees.

The status of a grant for research or travel appears to depend on whether the grant is incidental to a scholarship or fellowship grant or is an independent grant made solely to cover expenses.

- A. A grant for research which provides for maintenance of the recipient for a stated period of time as well as an allowance for research expenses might be regarded as being in effect a postdoctoral fellowship, and therefore subject to the special provisions summarized in paragraph 2 above.
- B. A grant for research expenses only may be regarded as an allowance incidental to a fellowship under paragraph 2 above, if the recipient is released from other duties and uses the grant to aid him in the pursuit of his own study or research.
- C. A grant for research expenses only, if it does not come within subparagraph A or B above, constitutes gross income. The recipient should report the full amount of the grant but may claim deductions from gross income of amounts actually expended for travel, supplies, research assistance, and other research costs.

4. International Conference Travel Grants.

If the recipient can maintain that he is traveling "in pursuit of a trade or business," the full amount of the grant should be reported as gross income, and deductions claimed for amounts actually expended for transportation. Alternatively, under Revenue Ruling 59-81, 1959-1 Cum. Bull. 37, it appears that a travel grant might be excluded from gross income under provisions summarized in paragraph 2 above; but this would involve using up part of the permissible 36-month exclusion period.

5. Auxiliary Research Awards.

These grants, which are expendable at the recipients' discretion, may come under one or more of the provisions summarized in paragraphs 2 and 3 above, depending on the actual use made of the grants.

6. Grants to Participants in Training Institutes or Seminars.

Study grants and expense allowances may be regarded as equivalent to payments received by predoctoral or postdoctoral fellowship holders as the case may be. (See paragraphs 1 and 2 above.) Salaries or honoraria of the directors and members of teaching staffs of institutes are payments for services rendered and therefore are taxable income.

Note: In the case of any award under which funds are deposited with the grantee's university or other institution rather than being paid directly to him by the Council, the grantee should consult the appropriate official concerning reports made by the institution of its payments to him, as it may be necessary to establish the fact that the funds constitute a grant from the Council to the individual, the university or other institution being in this respect a fiscal agent of the Council.

# Social Science Research Council

230 Park Avenue, New York 17, N. Y.

## COMMITTEE ON FACULTY RESEARCH FELLOWSHIPS

Date of Committee action: December 17, 1963

To: Professor Otto Kirchheimer  
516 Fayerweather Hall  
Columbia University  
New York, N. Y. 10027

The committee named above has recommended that the Council offer you a  
fellowship

in the amount of \$6,000.00

for a period of 12 months

for the purpose set forth in your application dated October 18, 1963.

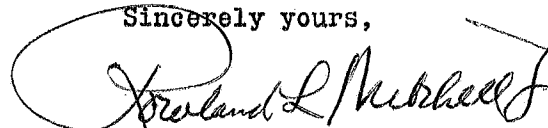
Of the above amount, \$5,300.00 is for maintenance in lieu of salary  
(for 12 months).

This appointment is subject to the conditions stated in the attached  
"Instructions for Grantees and Faculty Research Fellows (IG 8.61)."

A memorandum on pertinent provisions of the Internal Revenue Code  
is enclosed for your information.

Will you kindly complete and return the attached form indicating  
your acceptance or declination of this offer at your earliest convenience.  
If your acceptance is not received within three weeks after this notice,  
the offer may be rescinded without further notice. Immediate notice of  
inability to accept an appointment will be appreciated both by the Council  
and by any other applicant named as alternate who may thus be enabled to  
receive a grant.

Sincerely yours,



Rowland L. Mitchell, Jr.  
Staff Associate

AG  
8.61  
(400)

5. Copy for  
Appointee

# Social Science Research Council

## COMMITTEE ON FACULTY RESEARCH FELLOWSHIPS

Name and Address of Appointee

Date voted December 17, 1963

Professor Otto Kirchheimer  
516 Fayerweather Hall  
Columbia University  
New York, N. Y. 10027

fellowship

Amount \$6,000.00

Period 12 months

Date of application October 15, 1963.

Of the above amount, \$5,300.00  
(for 12 months).

is for maintenance in lieu of salary

This appointment is subject to the conditions stated in the attached  
"Instructions for Grantees and Faculty Research Fellows (IG 8.61)."

---

Method of Payment:

Hold for instructions.

Certified for  
payment:

*A. C. Kirkell*  
*Richard L. Mancoske*  
Date: January 29, 1964

THIS COPY IS FOR THE APPOINTEE'S INFORMATION ONLY

**JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION****551 FIFTH AVENUE • NEW YORK • N • Y •**

8 February 1964

The Committee of Selection has asked us to secure for them estimates of the budgetary requirements of your proposed Fellowship studies. Please complete and return one copy of the form enclosed and retain the other for your files.

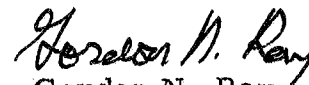
The budget form is designed to meet provisions in the IRC and Treasury regulations concerning fellowship grants.

In effect, Section 117 of the IRC says that gross income does not include fellowship grants to recipients who are not studying for degrees (if granted by an organization such as this one) up to a limit of \$300. a month for a maximum of 36 months, and that any amounts received and used to cover expenses which are incident to the fellowship grant "for travel, research, clerical help, or equipment" shall not be taxable as income.

The Treasury regulations (copy enclosed) provide for the exclusion from taxable income of such sums as are "specifically designated" by a foundation "to cover expenses for travel (including meals and lodging while traveling and an allowance for travel of the individual's family), research, clerical help, or equipment" and are actually expended for such items during the period of the fellowship, in order to effectuate the purpose for which the fellowship grant was awarded.

Sabbatical leave salaries, Fulbright research grants and grants-in-aid may be held concurrently with Guggenheim Fellowship grants. Other fellowships or scholarships, as distinct from grants-in-aid, may not be held concurrently. Hence, if you are awarded a Guggenheim Fellowship and also are awarded another fellowship or scholarship for the same period, the situation will be so far as we are concerned, that you may take your choice but you may not have both for the same period.

Will you please send me your response as soon as you possibly can do so?

  
Gordon N. Ray  
President

Dr. Otto Kirchheimer  
2801 Beechbank Road  
Silver Spring, Maryland

We intend to release the story of the Fellowship appointments for publication in newspapers of Monday morning, 30 March 1964. Please hold confidential the notification of your appointment, in the sense that you do not permit it to be published, until that date.

John Simon Guggenheim  
Memorial Foundation

March 20, 1964.

Mr. Gordon N. Ray, President  
John Simon Guggenheim Memorial Fellowsh

March 20, 1964.

Mr. Gordon N. Ray, Pres.  
John Simon Guggenheim Memorial Foundation  
551 Fifth Avenue  
New York, N.Y.

Dear Mr. Ray:

Thank you very much for your  
letter of March 17. I gratefully  
accept the Fellowship awarded me  
by the John Simon Guggenheim Foundation.  
Thanking you again, I am,

sincerely yours,

(Otto Kirchheimer)



JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION  
551 FIFTH AVENUE  
NEW YORK

GORDON N. RAY  
PRESIDENT

17 March 1964

Mr. Otto Kirchheimer  
2801 Beechbank Road  
Silver Spring, Maryland

Dear Mr. Kirchheimer:

I am specially pleased to send you the enclosed letter of notification of the award to you of a Guggenheim Fellowship.

Your Fellowship from us is, as you wish, for the period from June 1965. Thus there will be no conflict in the periods of your SSRC faculty research fellowship and your Guggenheim.

Yours sincerely,



Gordon N. Ray

JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION  
551 FIFTH AVENUE  
NEW YORK

GORDON N. RAY  
PRESIDENT

17 March 1964

Mr. Otto Kirchheimer  
2801 Beechbank Road  
Silver Spring, Maryland

Dear Mr. Kirchheimer:

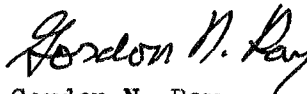
I have the honor to inform you that the Foundation has awarded you the Fellowship you requested. Your grant is recorded in the Minutes of the Board of Trustees, as follows:

Proposed studies: Studies of parliament and party in Western Europe.  
Period: Eight months from June 1965.  
Grant: Six thousand dollars (\$6,000.).

Will you please, at your earliest convenience, send us a note of acknowledgement? Attached hereto is a memorandum designed to answer questions concerning the Guggenheim Fellowships.

With all good wishes.

Yours sincerely,

  
Gordon N. Ray

JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION

551 Fifth Avenue

New York, N. Y. 10017

MEMORANDUM FOR FELLOWS · 1964

This memorandum is written to anticipate some of the questions which may arise during the period of your Fellowship:

You are notified that the Foundation has granted your request for assistance to carry on the studies which you proposed in your application. The funds granted to Fellows are gifts by the Foundation to assist them to pursue their own plans for self-improvement, to help them to do what they want to do to advance their own training, education and development.

Hence, it is expected that Fellows, during the periods of their Fellowships, will occupy themselves, under the freest possible conditions, with the studies, research or creative activities to further which they requested the Foundation's assistance and for which their Fellowships were granted.

In the event that a Fellow desires to resign or withdraw from his Fellowship during its term, equitable arrangements will be made to fit the particular circumstances.

Shortly before Fellows take up their Fellowships, they are given Letters of Appointment, bearing the seal of the Foundation, indicating the periods for which they are appointed, stating the fields of study in which they intend to occupy themselves, and recommending them as distinguished students to the esteem, confidence, and friendly consideration of all persons to whom they may present their letters.

It is requested of Fellows that they keep the office of the Foundation informed of their addresses.

Shortly before Fellows enter upon their Fellowships, it is suggested that they should, for their own protection, be examined by a responsible physician and that copies of their physicians' reports on physical fitness should be sent to the Foundation.

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The grant stated in the attached letter is your total grant from us. It is a gift that you may use as you wish to assist your studies; we want no accounting whatever of its use.

However, as with all payments of money nowadays, income tax questions may arise; and within the next few days we shall send you a memorandum on that subject, as related to Guggenheim Fellowship grants.

Gordon N. Ray  
President

**JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION**  
**551 FIFTH AVENUE • NEW YORK • N • Y •**

March 24, 1964

Mr. Otto Kirchheimer  
Department of Public Law and Government  
Columbia University  
New York 27, New York

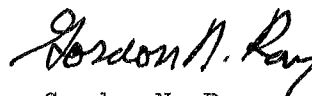
Dear Mr. Kirchheimer:

Thanks for your letter of March 20 acknowledging the award to you of a Guggenheim Fellowship. For our part we are glad to add your name to the Foundation's roll, a distinguished one, as we think.

A memorandum on the relation of your Fellowship grant to Federal income tax provisions will be sent you shortly, together with information concerning our procedures for payment.

With all good wishes.

Yours sincerely,



Gordon N. Ray  
President

GNR:lb

JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION

551 FIFTH AVENUE • NEW YORK • N • Y •

March 25, 1964

Mr. Otto Kirchheimer  
Department of Public Law and Government  
Columbia University  
New York 27, New York

Dear Mr. Kirchheimer:

The Foundation is required to send the Treasury Department each tax year an information return on all payments of Fellowship grants. When you prepare your Federal income tax you will need to refer to your estimated budget and the Trustees' Resolution, a copy of which I now enclose.

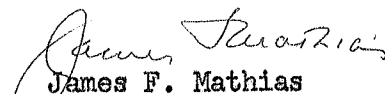
As to payments, a separate enclosure outlines our procedures. We shall be pleased to arrange a schedule of payments that suits your convenience.

Our payments are made by the first of the month that begins any quarter of a Fellowship year. To arrange these payments, we rely on Fellows to confirm or alter addresses and instructions no later than the fifteenth of the month preceding the due date.

Please send us your instructions in course.

With all good wishes.

Sincerely yours,

  
James F. Mathias  
Secretary

jfm/mb

JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION

MEMORANDUM ON UNITED STATES FEDERAL INCOME TAX

The Foundation holds that Guggenheim Fellowship grants are tax-exempt gifts, and therefore not includable in gross income. However, in its regulations, the United States Treasury Department has taken the position that, irrespective of the provision in the Internal Revenue Code exempting gifts from income tax, the question whether a fellowship grant is taxable is controlled solely by Section 117 of the United States Internal Revenue Code of 1954.

Section 117 provides that fellowship grants, such as this Foundation's, are excludable from gross income up to \$300. a month for 36 months. The Treasury Department's Regulations further provide for the exclusion of any amount "which is specifically designated to cover expenses for travel (including meals and lodging while traveling and an allowance for travel of the individual's family), research, clerical help, or equipment," . . . "provided that such expenses are incident to" the Foundation's fellowship grants.

---

When the Trustees met on March 16, 1964 and voted Fellowship appointments, the officers stated that budgets had been requested--and received--from all persons being appointed to Fellowships, and that these budgets stated--in terms of the language of Section 117--what sums would be needed for transportation for the Fellow (and his family, if any) for his meals and lodging while traveling, for research, clerical help and equipment--all incident to the purposes for which it was contemplated that the Fellowship would be granted. The Trustees then enacted the following resolution.

"RESOLVED, That the sums requested by the candidates, who are now appointed to Fellowships, to cover expenses for travel (including meals and lodging while traveling and an allowance for travel of the individual's family), research, clerical help, or equipment, be, and hereby are, specifically designated to be appropriated for such purposes incident to the Fellowship grant."

The officers were authorized and directed to inform each Fellow accordingly, and to inform him also of the Treasury Department's Regulation as follows:

"The requirement that these expenses be incident to the scholarship or the fellowship grant means that the expenses of travel, research, clerical help, or equipment must be incurred by the individual in order to effectuate the purpose for which the scholarship or the fellowship grant was awarded," and that "the exclusion provided" as above stated "is applicable only to the extent that the amount received for travel, research, clerical help, or equipment, is actually expended for such expenses by the recipient during the term of the . . . fellowship grant and within a reasonable time before and after such term."

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You ought, for Federal income tax purposes, not only to keep careful accounts of your expenses, but also get vouchers, whenever possible, for those expenses incurred "for travel, research, clerical help, or equipment which are incident to such . . . fellowship grant." We do not want to see these accounts and vouchers; we are simply suggesting that you will find such accounts and vouchers useful in your dealings with the United States Federal income tax authorities.

*James F. Mathias*  
James F. Mathias, Secretary

May 14, 1964.

Mr. Rowland L. Mitchell, Jr.  
Social Science Research Council  
230 Park Avenue  
New York 17, N.Y.

Dear Mr. Mitchell:

I thought I let you know that definite arrangements have been completed by Columbia University to grant me leave for the second term of the 1964-65 academic year.

I shall start full-time work on my project at the end of this term. I would therefore appreciate if arrangements could be made to start monthly payments on my 12 months grant as of July 1, 1964.

If no inconvenience is involved, it might be best to forward the monthly payments directly to my bank: American National Bank, 8701 Georgia Avenue, Silver Spring, Md. 20910 account number: 573-952.

With many thanks,  
sincerely yours,

# JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION

90 PARK AVENUE, NEW YORK, N.Y. 10016

TELEPHONE: MURRAY HILL 7-4470

CABLE ADDRESS: GUGMEMORA

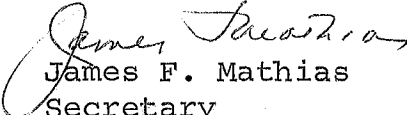
June 17, 1965

Mr. Otto Kirchheimer  
2801 Beechbank Road  
Silver Spring, Maryland

Dear Mr. Kirchheimer:

With your Letter of Appointment, enclosed,  
go the best wishes of all of us for a happy and  
fruitful Fellowship.

Sincerely yours,

  
James F. Mathias  
Secretary

jfm:ft

enclosure



JOHN SIMON GUGGENHEIM MEMORIAL FOUNDATION  
90 PARK AVENUE  
NEW YORK

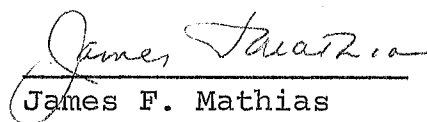
JAMES F. MATHIAS  
SECRETARY

18 June 1965

I HEREBY CERTIFY, That Dr. Otto Kirchheimer, Professor of Government, Columbia University, New York City, has been appointed by the Trustees of the John Simon Guggenheim Memorial Foundation to a Fellowship for the period from July 1, 1965 to February 28, 1966.

During this period Dr. Kirchheimer will devote himself to studies of parliament and party in Western Europe.

Dr. Kirchheimer is respectfully recommended by the John Simon Guggenheim Memorial Foundation to the esteem, confidence and friendly consideration of all persons to whom he may present this letter.

  
James F. Mathias

Objectives and Nature of Results:

In the last analysis my interest in the subject derives from curiosity about the fate of both parliament and political party as connecting links between the population and the political establishment in the age of mass democracy. Are they just procedural cogs used to police and channel political energies? If they have a more substantive role to play how should it be defined? The respective national material on disfunctional aspects of various parliaments abound but they have rarely been treated on a comparative basis. There is abundant descriptive and statistical material and some - mostly French - hypothesis on the European political parties. I would want to dig a little deeper and arrive at a less sketchy critical evaluation on the status of both.

Materials:

Available materials consist of European research studies, governmental and parliamentary reports and the respective parliamentary records. A certain number of interviews with parliamentary leaders and administrators are an indispensable part of the project; they serve as a control of the meaning of the published material which at times is apt to hide rather than emphasize the dimensions of a problem.

Time and Travel Schedule:

My present estimate as to the time table runs as follows: 16 months full time and another half year part-time work. I would be able to devote two academic terms as well as the summer months of 1965 and 1966 to the study. Part of the summer 1964 would also be used. I would aim for autumn 1966 as completion date. The 16 months would include a two months European interview schedule and an additional two months European research period.

B

Progress Report:

Since I left the State Department research organization in 1955 I have worked at various facets of the problem. I have dealt with parliamentary opposition in general ( see list of publications) and have finished a fifty page chapter on Parliamentary Opposition in Germany for a forthcoming collective work on parliamentary opposition. I have also done work on the new French Constitution which has partly been published. In recent months I have been concerned with parliamentary institutions of Europe in general as preparation for a paper to be given at the forthcoming Chicago UNESCO Conference on Europe. I am now working on a paper on European parties for the forthcoming SSRC Conference in Rome. A special segment of the problem, the interrelations between the political and the judicial apparatus is treated in my 1961 book on Political Justice. Special aspects of this interrelation as they recently came to light in the Spiegel affair will be treated in a chapter of the forthcoming Harcourt Brace volume on International Cases.

I am bilingual (English - German) my French reading knowledge is at level with the other two languages, I write French fluently, while speaking needs a few weeks refresher in France. I have satisfactory reading knowledge of Italian.

C

I shall have the full cooperation of my academic colleagues in France, England and Italy and through them I will be able to approach the respective administrators and ~~the~~ members of parliament. I am widely acquainted with the German members of my profession and judges, administrators and members of parliament. No passport difficulties are anticipated.

D

Financial Estimate:

Travel costs:	\$ 700.-
Additional living cost abroad	\$ 700.-
Equipment, supplies and typing	\$ 200.-
	<u>\$ 1,600.-</u>

My budget schedule for the academic year 1964 -65 will run as follows:

1 term salary at Columbia University before deductions \$ 8,000.- (after deductions \$ 6,000.- Support sought from the SSRC in lieu of salary \$ 5,300.- excess living cost abroad \$ 700.- A similar arrangement would apply for 1965-66 with the exception of the \$ 700.- item for excess living cost abroad, since only one four months stay abroad is contemplated.

No attempt has so far been made to secure financial support from other sources. However, I will approach the European Institute at Columbia if funds should become available for such purposes in the future, in order to hire research assistants and to cover additional expenditure.

If no funds are available from Columbia I would approach the Council of Learned Societies for travel support. In the absence of any further support I would carry these expenses myself.

Anne R. Kirchheimer  
2801 Beechbank Road  
Silver Spring, Md. 20910

January 13, 1966

Mr. James F. Mathias  
John Simon Guggenheim Memorial Foundation  
~~55th Street~~  
90 Park Avenue  
New York, N.Y. 10016

Dear Mr. Mathias:

I received notice from my bank that \$ 1,500 were credited on January 10 to the account jointly held by my husband and myself. I wonder whether you and the John Simon Guggenheim Memorial Foundation are aware of the fact that my husband, Professor Otto Kirchheimer died of an acute coronary thrombosis on November 22 1964.

Sincerely yours,