



NATIONAL ENDOWMENT FOR THE

**Humanities**

**The ABC's  
of  
NEH  
General Operating Support**

# Section 1

## Award Documents

- Notice of Action (NOA)
- Matching Guidelines
- Terms and Conditions Document (GTAC)
- Report Due Schedule
- SF 425 (Financial Report)
- Labor Assurance Form
- Summary Budget Form (Unique to GOS Awards)
- Financial Forms (SF 270 and SF 3881)



*To love what you do and feel that it matters – how could anything be more fun?*

***Katharine Graham***



NATIONAL ENDOWMENT FOR THE  
**Humanities**

**OFFICIAL NOTICE OF ACTION**  
National Endowment for the Humanities

<b>Award Recipient</b> Arizona Humanities Council Institutional Grant Administrator : Ms. Brenda M. Thomson (BThomson) Executive Director Arizona Humanities Council 1242 N. Central Ave. Phoenix, AZ 85004	<b>Action Taken:</b> Award	<b>Date of Action:</b> 11/7/2012
	<b>ID Number:</b> SO-50519-13	
	<b>Award Period:</b> From: 11/1/2012 To: 10/31/2017	
	<b>Award Amounts</b> Outright \$190,000.00 Federal Match \$0.00 Other \$0.00 Total Awarded \$190,000.00	<b>Federal Matching Funds</b> Amount Offered \$0.00 Offer Expires

**Project Director**  
 Dr. Thomas H. Wilson (ThomasWilson)  
 Arizona Natural History Museum  
 53 N. Macdonald  
 Mesa, AZ 85201

**Project Title:**  
 State Humanities Program

**Remarks:**  
 \$190,000 of your 2012-2013 award is being made available at this time.

When NEH receives its full FY 2013 funding from Congress, you will receive an amendment granting the balance of your 2012-2013 outright funding and offering your Federal Matching Funds. A summary budget reflecting those amounts will then be requested. Upon NEH receipt and review of this budget, an approval letter will be issued and the allocation to regrants will be set.

The administration of this grant and the expenditure of funds are subject to the General Terms and Conditions for General Support Grants to State Humanities Councils (October 2012) and its Addendum (October 2010). This General Terms document incorporates by reference the uniform administrative requirements of OMB Circular A-110 (2 CFR Part 215), the audit requirements of OMB Circular A-133, the CFDA 45.129 section of the OMB Compliance Supplement, and the cost principles of OMB Circular A-122 (2 CFR Part 230).

Forms and publications referenced in this award package, including the financial reporting forms and instructions, are available from our website. Go to "Manage Your Grant" at [www.neh.gov](http://www.neh.gov).

Payment of this grant will be made on an advance basis. Information on requesting payment will be found in the Financial Reporting Requirements.

This award was funded by the NEH program described in CFDA section 45.129

**NEH Office of Grant Management Official**

*Susan Daisey*

Susan Daisey  
 Director, Office of Grant Management

Award Recipient



# NOA Details

## OFFICIAL NOTICE OF ACTION National Endowment for the Humanities

<b>Award Recipient</b> Arizona Humanities Council Institutional Grant Administrator : Ms. Brenda M. Thomson (BThomson) Executive Director Arizona Humanities Council 1242 N. Central Ave. Phoenix, AZ 85004	<b>Action Taken:</b> Award	<b>Date of Action:</b> 11/7/2012
	<b>ID Number:</b> SO-50519-13	
	<b>Award Period:</b> From: 11/1/2012 To: 10/31/2017	
	<b>Award Amounts</b> Outright \$190,000.00 Federal Match \$0.00 Other \$0.00 Total Awarded \$190,000.00	<b>Federal Matching Funds</b> Amount Offered \$0.00 Offer Expires
<b>Project Director</b> Dr. Thomas H. Wilson (ThomasWilson) Arizona Natural History Museum 53 N. Macdonald Mesa, AZ 85201		
<b>Project Title:</b> State Humanities Program		



NATIONAL ENDOWMENT FOR THE  
**Humanities**

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**Remarks:**

\$190,000 of your 2012-2013 award is being made available at this time.

When NEH receives its full FY 2013 funding from Congress, you will receive an amendment granting the balance of your 2012-2013 outright funding and offering your Federal Matching Funds. A summary budget reflecting those amounts will then be requested. Upon NEH receipt and review of this budget, an approval letter will be issued and the allocation to regrants will be set.

The administration of this grant and the expenditure of funds are subject to the General Terms and Conditions for General Support Grants to State Humanities Councils (October 2012) and its Addendum (October 2010). This General Terms document incorporates by reference the uniform administrative requirements of OMB Circular A-110 (2 CFR Part 215), the audit requirements of OMB Circular A-133, the CFDA 45.129 section of the OMB Compliance Supplement, and the cost principles of OMB Circular A-122 (2 CFR Part 230).

Forms and publications referenced in this award package, including the financial reporting forms and instructions, are available from our website. Go to "Manage Your Grant" at [www.neh.gov](http://www.neh.gov).

Payment of this grant will be made on an advance basis. Information on requesting payment will be found in the Financial Reporting Requirements.



NATIONAL ENDOWMENT FOR THE

Humanities

**OFFICIAL NOTICE OF ACTION**  
National Endowment for the Humanities

<b>Award Recipient</b> Amerika Samoa Humanities Council  Institutional Grant Administrator :  Mrs. Niualama E. Taifane (niualamat) Executive Director Amerika Samoa Humanities Council P.O. Box 5800 Pago Pago, AS 96799	<b>Action Taken :</b> Amendment	<b>Date Of Action :</b> 09/08/2011
	<b>ID Number :</b> SO-50289-09	
	<b>Award Period :</b> From : 11/01/2008 Thru : 10/31/2013	
	<b>Award Amounts</b>	<b>Federal Matching Funds</b>
Outright \$ 882,620.00 Federal Match \$ 27,200.00 Other \$ 0.00 Total Awarded \$ 909,820.00	Amount Offered \$ 27,200.00  Offer Expires 9/15/2011	
<b>Project Director :</b> Dr. Uiagalelei Lealofi (259341)		
<b>Project Title :</b> State Humanities Program		

**Remarks:**

A gift certification has been received and matched by the Endowment. This award is therefore increased by \$11,000 in matching funds to the new funding level indicated above. Of this new total funding level, \$2,000 is restricted to the regrant budget category at this time.

In accordance with the general terms and conditions, state councils have the authority to shift funds among budget categories without prior approval, with the exception of transfers from the federal funds allocated for regrants.

Please note that the expenditure of certified gift funds is a part of the nonfederal share of project costs and must be included as such on the final Federal Financial Report. Also, for every dollar in matching funds that is spent under this award, an equal amount of gift funds must be spent.

We would appreciate your informing the donor(s) that matching funds have been provided by the Endowment.

This award was funded by the NEH program described in CFDA section 45.129

**NEH Office of Grant Management Official**

Susan G. Daisey



Director, Office of Grant Management

**Award Recipient**



# Matching Guidelines

- Must be in the form of cash
- Given freely from 3<sup>rd</sup> party
- Given to the council or regrantee
- May NOT be federal dollars

## OFFICIAL NOTICE OF ACTION National Endowment for the Humanities

<b>Award Recipient</b> Alabama Humanities Foundation Institutional Grant Administrator : Mr. Armand DeKeyser (ADeKeyser) Executive Director Alabama Humanities Foundation 1100 Oreland Way, Suite 101 Birmingham, AL 35205-7001	<b>Action Taken:</b> Amendment	<b>Date of Action:</b> 11/6/2012
	<b>ID Number:</b> SO-50400-11	
	<b>Award Period:</b> From: 11/1/2010 To: 10/31/2015	
<b>Project Director</b> Mr. Jim Noles (JimNoles) Balch & Bingham LLP 1901 6th Avenue North, Suite 1500 Birmingham, AL 35203	<b>Award Amounts</b>	
	Outright \$1,646,070.00	<b>Federal Matching Funds</b> Amount Offered \$43,300.00
	Federal Match \$43,300.00 Other \$0.00	Offer Expires 9/15/2012
	Total Awarded \$1,689,370.00	

**Project Title:**  
State Humanities Program

**Remarks:**

\$190,000 of your 2012-2013 outright award is being made available at this time.

When NEH receives its full FY 2013 funding from Congress, you will receive an amendment granting the balance of your 2012-2013 outright funding and offering your Federal Matching Funds. A summary budget reflecting those amounts will then be requested. Upon NEH receipt and review of this budget, an approval letter will be issued and the allocation to regrants will be set.

The administration of this grant and the expenditure of funds are subject to the General Terms and Conditions for General Support Grants to State Humanities Councils (October 2012) and its Addendum (October 2010). This General Terms document incorporates by reference the uniform administrative requirements of OMB Circular A-110 (2 CFR Part 215), the audit requirements of OMB Circular A-133, the CFDA 45.129 section of the OMB Compliance Supplement, and the cost principles of OMB Circular A-122 (2 CFR Part 230).

Forms and publications referenced in this award package, including the financial reporting forms and instructions, are available from our website. Go to "Manage Your Grant" at [www.neh.gov](http://www.neh.gov).

Payment of this award will be made on an advance basis. Information on requesting payment will be found in the Financial Reporting Requirements.

This award was funded by the NEH program described in CFDA section 45.129

NEH Office of Grant Management Official



Susan Daisey  
Director, Office of Grant Management

Award Recipient



# Terms and Conditions

GRANTEE: Alabama Humanities Foundation

GRANT ID NUMBER: SO-50400-11

## BASIS OF AWARD

This grant is made in support of the activities described in NEH application SO-50400.

## NEH ADMINISTRATION OF THE AWARD

This grant has been funded by the Federal/State Partnership. Questions relating to grant activities should be addressed to the Federal/State Partnership (Room 603, NEH, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506 Phone: 202/606-8254 Fax: 202/606-8365 E-mail: [FedState@neh.gov](mailto:FedState@neh.gov)). Questions about the regulations that apply to the grant should be addressed to Robert Straughter of the NEH Office of Grant Management (Room 311, [remainder of address as above], Phone: 202/606-8237 Fax: 202/606-8633 E-mail: [RStraughter@neh.gov](mailto:RStraughter@neh.gov)).

## SPECIFIC TERMS AND CONDITIONS

The following terms and conditions apply to this grant:

1. This award has been increased by **\$383,756** in outright general operating support funds. This action completes the award of your FY 2011 outright funding of **\$725,430**. Your federal matching funds offer has been increased by the amount of this fiscal year's offer amount, as indicated in Condition 2 below. Both the outright funding increase and the federal matching funds offer are reflected in the attached Official Notice of Action.
2. NEH offers to provide federal matching funds of up to **\$28,900** on condition that (1) an equal amount of eligible gifts is raised and either certified or forwarded to NEH by **September 15, 2011**, and (2) sufficient funds allocated for matching purposes are available in the Federal/State Partnership. It should be noted that this offer may be withdrawn at any time by the chairman of NEH. Please see the *Matching Guidelines for General Support Grants to State Humanities Councils* for details on the eligibility of gifts and their certification. This document is available on the NEH website.
3. **Please submit a Summary Budget for the funding period November 1, 2010 through October 31, 2011 to the NEH Office of Grant Management for approval within sixty days of the date of this amendment.** A fillable pdf file of this form is posted on the NEH website on the Grant Management page under the section for the State Councils. The summary budget once completed must be, signed, scanned and emailed to Robert Straughter in the NEH Office of Grant management, email address: [rstraughter@neh.gov](mailto:rstraughter@neh.gov); or faxed to (202) 606-8633. Upon NEH receipt and review of this budget, an approval letter will be issued and the allocation to regrants will be set.

- You are directed to this document in the remarks section of the final funding action
- **Please read them carefully**



NATIONAL ENDOWMENT FOR THE  
**Humanities**

**GRANTEE: Alabama Humanities Foundation**

**GRANT ID NUMBER: SO-50400-11**

**BASIS OF AWARD**

This grant is made in support of the activities described in NEH application SO-50400.

**NEH ADMINISTRATION OF THE AWARD**

This grant has been funded by the Federal/State Partnership. Questions relating to grant activities should be addressed to the Federal/State Partnership (Room 603, NEH, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506 Phone: 202/606-8254 Fax: 202/606-8365 E-mail: [FedState@neh.gov](mailto:FedState@neh.gov)). Questions about the regulations that apply to the grant should be addressed to Robert Straughter of the NEH Office of Grant Management (Room 311, [remainder of address as above], Phone: 202/606-8237 Fax: 202/606-8633 E-mail: [RStraughter@neh.gov](mailto:RStraughter@neh.gov)).



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4. This award represents the first year of funding in a triennial grant. It is our intention to amend this grant in each of the next two years, retaining the same NEH grant ID number, provided funds are available. The five-year grant period will ultimately encompass three years of funding plus two years following the last funding period to close out the grant.



# Summary Budget Form

- Covers the current funding period Nov 1 through October 31<sup>st</sup>
- Must be signed by the ED
- Sets Regrant Allocation
- Due within **60** days of the final appropriation NOA
- Outright funds + Matching Offer + Certified Gifts = Minimum Budget Total
- Available on-line in a fillable format on the NEH Website

OMB No. 3136-0134  
Expires 6/30/12

## SUMMARY BUDGET FOR THE FUNDING PERIOD 11/1/2009 THROUGH 10/31/2010

For each budget category shown below, please list the total anticipated expenditure of NEH outright funds, NEH federal matching funds, and cash cost sharing (including the gifts that will be certified to NEH for matching). *Do not include 1) We the People grant funds or other NEH grant funds, 2) third party in-kind contributions or 3) carry-over funds from a prior funding period on this budget form.* For regrants only, please itemize the amount budgeted for each of the three funding types. (A single red asterisk indicates required fields; for each, enter a numeric value or zero.)

If you do not use the budget categories below in your organizational budget, you may cross out these categories and replace them with the ones your council uses, or you may redo this form. However, the regrant expenditures must be itemized as shown below and the Executive Director must sign the summary budget.

General Management.....	\$	100,000	*
Program Services.....	\$	182,150	*
Fund Raising.....	\$	10,000	*
Public Meetings.....	\$	4,000	*
Council-Conducted Projects.....	\$	180,000	*
Regrants: A) NEH Outright Funds.....	\$	18,600	*
B) NEH Federal Matching Funds.....	\$	11,700	*
C) Cash Cost Sharing.....	\$	11,700	*
(Regrants total = A + B + C).....	\$	42,000	
Other (Please itemize in the space below; enter total in the field at right)...	\$	2,500	*
ABC- \$2,000 XYZ- \$ 500			
TOTAL COSTS <sup>***</sup> .....	\$	520,650	

**\*\*\*The Total Costs amount may not be less than the sum of the outright and federal matching funds offered plus the gifts that will be certified to NEH to release the federal matching funds.**

My Council	SO-12345-XX
Council name	Grant ID number
Signature of Executive Director	04/28/20XX
	Date

THIS SUMMARY BUDGET SHOULD COMPLETED, SIGNED, SCANNED AND EMAILED TO ROBERT STRAUGHTER IN THE NEH OFFICE OF GRANT MANAGEMENT, EMAIL ADDRESS: RSTRAUGHTER@NEH.GOV; OR FAXED TO (202) 606-8633.

Paperwork Burden: NEH estimates the average time to complete this form is 2 hours. This estimate includes the time for reviewing the instructions for this form, gathering the necessary data and entering the data on the form. Please send any comments regarding this estimated completion time or any other aspect of the form, including suggestions for reducing completion time, to the Director, Office of Publications and Public Affairs, National Endowment for the Humanities, Washington, D.C. 20540, and to the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, DC 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# Regrants

## Can Do

- Set their own regrant policies and procedures
- Payments (Art. 4), OMB cost principles (Art. 6), and Appendix A
- Streamline your application guidelines
- Request an audit and return of funds

## NO can Do

- Issue without a DUNS
- Not verify eligibility
- Extend any deadline to a date outside of funded award period
- Violate Financial Management Standards (Art. 17)



5. All professional performers, scriptwriters, and related or supporting professional personnel employed under this grant, either directly by the state council or indirectly by a regrantee, must be paid not less than the minimum union or guild rates.

The applicable regulations, *Labor Standards on Projects or Productions Assisted by Grants from the National Endowments for the Arts and Humanities; Final Rule* are available on the NEH website at <http://www.neh.gov/manage/index.html>. Please refer to §505.5 of these regulations for information on recordkeeping requirements.

**Grant funds will not be released until the Endowment has received the signed and completed *Assurances as to Labor Standards* (form ESA-38) attesting compliance with these labor standards under this grant, from the Alabama Humanities Foundation.** This form may be completed online (on the NEH website address referenced above), printed, signed, scanned and emailed to Robert Straughter in the NEH Office of Grant management, email address: [rstraughter@neh.gov](mailto:rstraughter@neh.gov); or faxed to (202) 606-8633.

6. Councils are expected to obligate most of the funds awarded each year by the end of the funding period, but they will be able to carry forward unobligated funds into the succeeding year and may obligate funds that become available through deobligation any time during the grant period, provided that all obligations are liquidated within 90 days after the completion date of the grant period.
7. All expenditures of NEH outright funds must be matched by either cash or in-kind contributions, and auditable records of these contributions must be maintained.



# Labor Assurance Form

- Must be signed by Institutional grant Administrator (ED) at the beginning of each new SO Cycle
- Every three years
- SO-XXXXX-13 this year



NATIONAL  
ENDOWMENT  
FOR THE  
HUMANITIES

OFFICE OF GRANT MANAGEMENT

1100 PENNSYLVANIA AVE., NW  
WASHINGTON, D.C. 20506  
ROOM 311  
GRANTMANAGEMENT@NEH.GOV  
(202) 606-8494  
WWW.NEH.GOV

## ASSURANCES AS TO LABOR STANDARDS UNDER SECTION 5(i) AND SECTION 7(g) OF THE NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES ACT OF 1965, AS AMENDED

In consideration of a grant made under section 5 or 7 of the National Foundation on the Arts and the Humanities Act of 1965, as amended, and in order to satisfy the conditions expressed in section 5(i) or section 7(g) of that act so as to be eligible to receive the grant funds,

\_\_\_\_\_ does hereby make this contractually  
(Institution name)  
binding promise to the Secretary of Labor that:

(1) all professional performers and related or supporting professional personnel (other than laborers or mechanics with respect to whom labor standards are prescribed in subsections 5(n) and 7(j) of the act) employed on projects or productions which are financed in whole or in part under such sections will be paid, without subsequent deduction or rebate on any account, not less than the minimum compensation as determined in accordance with 29 CFR 505.3 to be the prevailing minimum compensation for persons employed on similar activities; and

(2) no part of any project or production which is financed in whole or in part under section 5 or section 7 of the National Foundation on the Arts and the Humanities Act of 1965, as amended, will be performed or engaged in under working conditions which are unsanitary or hazardous or dangerous to the health and safety of the employee engaged in such project or production, including particularly, no work which is prohibited for safety or sanitary reasons by any of the contracts with labor organizations listed in 29 CFR 505.3(a). Grantee further promises to keep the records and permit the inspections provided by 29 CFR 505.5(b). Receipt of a copy of 29 CFR Part 505 is hereby acknowledged. This promise may be enforced by the Secretary through any appropriate action at law or in equity in any court of competent jurisdiction.

\_\_\_\_\_  
(NEH Grant Award or Application Number)

\_\_\_\_\_  
(Signature of Institutional Grants Administrator or AOR)

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

U.S. Department of Labor  
ESA-38  
Rev. June 1988



NATIONAL ENDOWMENT FOR THE  
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8. This award includes an additional \$10,000 in We the People funds to support activities under the “Making Sense of the American Civil War” program. The Council (or another organization within the state) is required to:
- a. administer a statewide reading and discussion program on “Making Sense of the American Civil War” using materials provided by the NEH and the American Library Association;
  - b. use all 100 sets of books in scholar-led library programs during the first year (January-December 2012), supporting programs in a minimum of four venues;
  - c. make the books available to libraries (or other venues) on a loan basis, so that they can be reused for additional programs;
  - d. make an effort to offer programs using these books throughout the Civil War sesquicentennial period (through May 2015 or the end of the grant period);
  - e. expend the \$10,000 within the grant period on administrative costs related to Civil War 150 library programs, limited to scholar honoraria, postage, promotion, and travel to the training workshop; and
  - f. submit an online progress report to the American Library Association by January 31, 2013.

Please note that there is no requirement for nonfederal matching funds for this \$10,000.



9. All materials publicizing or resulting from grant activities must contain an acknowledgment of NEH support. The acknowledgment must also include the following statement: “Any views, findings, conclusions, or recommendations expressed in this (publication) (program) (exhibition) (website) do not necessarily reflect those of the National Endowment for the Humanities.”

One copy of all grant products from council-conducted projects should be forwarded to the Federal/State Partnership as soon as they are available.

The “Making Sense of the American Civil War” program has been designated a We the People project. If you so choose, you may also acknowledge in your materials this project’s recognition as a We the People project. For information about appropriate text and graphics, please contact your NEH program officer.

**ALL TERMS AND CONDITIONS OF THIS GRANT WILL BE CONSIDERED ACCEPTABLE TO THE GRANTEE UNLESS A WRITTEN OBJECTION IS SUBMITTED WITHIN THIRTY DAYS FROM THE DATE OF THIS AMENDMENT.**



# Report Due List

## REPORT SCHEDULE National Endowment for the Humanities

Grant Number: SO-50460-12  
Grantee: Amerika Samoa Humanities Council

The following is a listing of the due dates of the reports required for this grant. A copy of this listing should be forwarded to those individuals responsible for the submission of the required reports.

Report	Due Date	Period to be Covered
Annual Financial	1/31/2013	11/1/2011 - 10/31/2012
Annual Financial	1/31/2014	11/1/2012 - 10/31/2013
Annual Financial	1/31/2015	11/1/2013 - 10/31/2014
Annual Financial	1/31/2016	11/1/2014 - 10/31/2015
Final Financial	1/31/2017	11/1/2011 - 10/31/2016

- Financial Reports are due annually by January 31<sup>st</sup>
- This requirement does not change

All reports must be submitted electronically via "eGMS", the online grant management system located at <https://securegrants.neh.gov/eGMS/>.

All NEH project directors and institutional grants administrators are assigned eGMS accounts, and their account numbers/user names are shown next to their names (in parentheses) on the attached Official Notice of Action.

When accessing eGMS for the first time, enter the account number or user name provided and click the RESET PASSWORD button. An e-mail message will be sent to you with a link to create a new password. A User Guide containing detailed instructions is available at the above eGMS site.



# Report due listing

## REPORT SCHEDULE National Endowment for the Humanities

Grant Number: SO-50480-12

Grantee: Amerika Samoa Humanities Council

The following is a listing of the due dates of the reports required for this grant. A copy of this listing should be forwarded to those individuals responsible for the submission of the required reports.

<b>Report</b>	<b>Due Date</b>	<b>Period to be Covered</b>	
Annual Financial	1/31/2013	11/1/2011	- 10/31/2012
Annual Financial	1/31/2014	11/1/2012	- 10/31/2013
Annual Financial	1/31/2015	11/1/2013	- 10/31/2014
Annual Financial	1/31/2016	11/1/2014	- 10/31/2015
Final Financial	1/31/2017	11/1/2011	- 10/31/2016



NATIONAL ENDOWMENT FOR THE  
**Humanities**

# Financial Report Form SF-425

- Covers the period November 1<sup>st</sup> through October 31<sup>st</sup>
- Due 90 days after the grant period ends - January 31<sup>st</sup>

**FEDERAL FINANCIAL REPORT**  
(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)		Page 1 of
pages				
3. Recipient Organization (Name and complete address including Zip code)				
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input type="checkbox"/> Cash <input type="checkbox"/> Accrual
8. Project/Grant Period From: (Month, Day, Year)		To: (Month, Day, Year)	9. Reporting Period End Date (Month, Day, Year)	
10. Transactions				Cumulative
<i>(Use lines a-c for single or multiple grant reporting)</i>				
<b>Federal Cash (To report multiple grants, also use FFR Attachment):</b>				
a. Cash Receipts				
b. Cash Disbursements				
c. Cash on Hand (line a minus b)				
<i>(Use lines d-o for single grant reporting)</i>				
<b>Federal Expenditures and Unobligated Balance:</b>				
d. Total Federal funds authorized				
e. Federal share of expenditures				
f. Federal share of unliquidated obligations				
g. Total Federal share (sum of lines e and f)				
h. Unobligated balance of Federal funds (line d minus g)				
<b>Recipient Share:</b>				
i. Total recipient share required				
j. Recipient share of expenditures				
k. Remaining recipient share to be provided (line i minus j)				
<b>Program Income:</b>				
l. Total Federal program income earned				
m. Program income expended in accordance with the deduction alternative				
n. Program income expended in accordance with the addition alternative				
o. Unexpended program income (line l minus line m or line n)				
11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To
			d. Base	e. Amount Charged
			f. Federal Share	
g. Totals:				
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:				
13. Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)				
a. Typed or Printed Name and Title of Authorized Certifying Official			c. Telephone (Area code, number and extension)	
b. Signature of Authorized Certifying Official			d. Email address	
			e. Date Report Submitted (Month, Day, Year)	
14. Agency use only:				
<small>Standard Form 425 OMB Approval Number: 0348-0081 Expiration Date: 10/31/2011</small>				
<p><b>Paperwork Burden Statement</b></p> <p>According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0081. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0080), Washington, DC 20503.</p>				





## FEDERAL FINANCIAL REPORT

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)		Page	of
				1	
3. Recipient Organization (Name and complete address including Zip code)					
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input type="checkbox"/> Cash <input type="checkbox"/> Accrual	
8. Project/Grant Period From: (Month, Day, Year)		To: (Month, Day, Year)	9. Reporting Period End Date (Month, Day, Year)		



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<b>13. Certification:</b> By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)	
a. Typed or Printed Name and Title of Authorized Certifying Official	c. Telephone (Area code, number and extension)
	d. Email address
b. Signature of Authorized Certifying Official	e. Date Report Submitted (Month, Day, Year)
	14. Agency use only:

Standard Form 425  
 OMB Approval Number: 0348-0061  
 Expiration Date: 10/31/2011

**Paperwork Burden Statement**

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0060), Washington, DC 20503.



## ***Request for Advance or Reimbursement (SF 270)***

### **Form**

Grantees shall use the [Request for Advance or Reimbursement \(Standard Form 270\)](#) to request payment. Instructions for completion are located on page 2 of the form. The [ACH Vendor/Miscellaneous Payment Enrollment Form \(Standard Form 3881\)](#) that contains banking information must be submitted to NEH with the first request for payment (and to request changes to banking information).

### **Limit on Advance Payment**

Grantees are normally authorized to be paid on an advance basis. When this is not the case, the grantee will be informed of the alternate payment basis in the award documents. Requests for advance payment shall be limited to the grantee's immediate cash needs and are not to exceed anticipated expenditures for a thirty (30) day period.

Section 12 may be used to request advance payment as well as reimbursement. A reimbursement should appear as a negative amount on item 12.b. This makes item 12.c. the sum of the advance requested in item 12.a. and the reimbursement stated in item 12.b.

NEH reserves the right to withhold payments if the grantee fails to comply with the program objectives or the terms and conditions of the award, or if the grantee is indebted to the United States government.



## Frequency

Grantees may submit payment requests whenever grant funds are needed. Requests for advance payment should be submitted to NEH's Accounting Office no earlier than fifteen days prior to the beginning of the period for which funds are requested. Grantees on the Vendor Express system transmitting payment requests via e-mail or FAX should expect grant funds to be transferred to their banks within ten workdays.

## Multiple Grants

Grantees who administer more than one NEH grant may use a single SF 270 to request payment on these grants. The grantee must identify at the bottom of the form or on a separate sheet each grant for which payment is sought and the amount of payment requested for each grant.

## How to Submit

Grantees can fill out the [SF 270](#) and the [SF 3881](#) online, print copies for signature by the authorized certifying official, scan the signed copies and **e-mail them to [SF270-paymentrequest@neh.gov](mailto:SF270-paymentrequest@neh.gov)** or fax them to the **NEH Accounting Office at (202) 688-2613**. (Note: The submission of the SF 3881 is required only with the first request for payment, and to request changes to banking information.)



## **Interest**

Interest that is earned on advanced payments up to \$250 per year may be retained by the recipient for administrative expenses. Interest earned in excess of \$250 a year on all federal grants to an organization shall be remitted annually to the Department of Health and Human Services (DHHS). If possible, interest should be remitted through an electronic medium such as the FEDWIRE Deposit system. Grantees that do not have this capability should make payment by check and mail it to the DHHS Payment Management System, P.O. Box 6021, Rockville, MD 20852.

**Effective immediately, NEH will no longer require the submission of a quarterly SF 272, *Federal Cash Transactions Report*; instead NEH will use the SF 270 to determine whether excessive amounts of federal funds (cash on hand) are being held.**



## Form and Requirement

The *Federal Financial Report (FFR)*, OMB Standard Form 425 is the form required for submission of the final financial report. The *FFR* is available in a web form on [eGMS](https://securegrants.neh.gov/eGMS/) (<https://securegrants.neh.gov/eGMS/>), NEH's online grant management system. The [SF 425](#) and [instructions for completion](#) are also available on the NEH website.

## Frequency and Due Dates

A final *FFR* must be submitted within ninety (90) days after the completion of the grant period.

## How to Submit

All *FFRs* must be submitted electronically via [eGMS](#). The *FFR* can either be submitted using the web form found on eGMS, or by uploading the completed *FFR* available on the NEH website. All project directors and institutional grant administrators (IGAs) are assigned eGMS accounts, and their account numbers are shown next to their names (in parentheses) on the *Official Notice of Action* included with their award. When accessing eGMS for the first time, enter the account number provided and click the Reset Password button. An e-mail message will be sent to you with a link to create a new password. A User Guide containing detailed instructions is available at the eGMS site.

Award funds that have been paid to the grantee but are unspent at the end of the award period must be promptly refunded to the NEH.



## ***Program Income Reports***

The grant award document will state if a grantee is required to submit program income reports, and the dates by which the reports must be submitted. Information that should be included in the program income report is requested in the program income report web form on eGMS and is also outlined in the award document. All program income reports must be submitted electronically via [eGMS](#).



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Ever feel like you've had too much coffee? Me neither.



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# Section 2- eGMS

- Who gets Access and How
- Key Personnel Changes
- What must you do in eGMS
- Common oops/help



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# Live as of November 03, 2009

## <https://securegrants.neh.gov/eGMS>

Login

### Quick Links:

- [User Guide \(PDF\)](#)
- [Reporting Requirements](#)
- [FAQs](#)
- [Contact Us](#)
- [Make a Suggestion](#)

### Welcome

Welcome to eGMS, the electronic grants management system servicing the National Endowment for the Humanities.

Please enter your user name or account number, and password.

User Name / Account Number:   
Password:

Remember me next time.

Did you forget your password? Enter your username or account number and click the **Reset Password** button.

Did you forget your user name? [Click here to request account information.](#)



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# Who Gets Permission-Why

## Mandatory for GOS

- Executive Director

IGA

- Board Chair

PD

Copy of NOA

Submits Reports/  
Certifications

## Optional Access- Permissions

- Program Officers
- Fiscal Officers
- Office Admin
- Grant Admin

Submit Financials

Submit Performance

Copies of NOA's



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# Key Personnel Changes

- Each eGMS account is unique (**No office sharing of account information**)
- If you do not want a non responsible party getting information (Board Chair/Ex-employee) let us know when you elect a new chair or an employee departs
- Levels of permissions can change
- Who can submit/certify documents

# What can you do in eGMS

- Submit **FFR**
- Submit **Summary Budget**
- Submit **Performance Reports**
- Submit **Certifications of Gifts/Pledges**
- IGA may request an Extension (BC's only)
- IGA may request adds/delete permissions
- Review and resubmit documents



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*Most stress is caused by  
three things: money, family,  
and family with no money.*



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# Section 3- Bits & Pieces

- NEH LOGO
- Federal Financial Accountability and Transparency Act (FFATA)
- FSRS
- DUNS
- Grants.gov
- USA Spending
- SAM- System for Award Management
- Changes on the Horizon





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# WE

National Endowment for the Humanities

# the People



## RULES FOR USE OF NEH LOGO

The logo consists of the full name, National Endowment for the Humanities, as well as the symbol. These elements are combined in a specific configuration to form the complete logo. Neither element may be used separately.

Typesetting the logo using similar typefaces will not result in the official logo and is not permitted. The size and space relationships between the letters, words, and shapes must be maintained at all times. Any rearrangement, alteration, or deletion of letter forms or shapes is prohibited.

The logo has two formats: horizontal and vertical. The preferred version is horizontal, which should be used whenever possible. The vertical format is to be used only when the space available is so small that reducing the horizontal logo to fit the space would make the logo illegible.

<http://www.neh.gov/logo/index.html>



# Branding Logo Lessoned Learned

- **Major Realization Number One:** Smaller is better. The logo should not be the main attraction of any document. But as the rules (short version is available at [neh.gov/logo](http://neh.gov/logo)) say, the horizontal logo should be no smaller than 1.75" wide.
- **Major Realization Number Two:** Flush left is becoming the default position for the logo. Something about the ragged justification of the logo itself makes it look better when positioned flush left. We'll sometimes depart from this standard, but please know it's always a safe bet for presenting the logo to advantage.
- **Major Realization Number Three:** The color logo comes out looking wimpy when printed on a black and white printer. For this we have a solution: A gray-scale logo that contains no color. It comes out looking darker and crisper in black and white. To download this version, go to [neh.gov/logo](http://neh.gov/logo). We've also added some more sizes to the color logos.



Crabby Road

3-26-08

*You're never too old to  
really hurt yourself trying  
something new.*



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[maxine.com](http://maxine.com)



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**Federal Funding  
Accountability  
and  
Transparency Act  
(Pub. L. 109-282).**



# FFATA Reporting Requirement

- As of Oct. 1, 2010 recipients of federal grants and contracts must comply with subrecipient reporting requirements under the Federal Funding Accountability and Transparency Act (Pub. L. 109-282). Awardees now will report on newly-issued first-tier subgrants of \$25,000 or more. The information reported will be made available to the public at [USASpending.gov](http://USASpending.gov). FFATA reporting requirement applies to all traditional first-tier subgrants that meet the \$25,000 threshold.

# FFATA- Data Elements

- name of the entity receiving the award;
- amount of the award;
- information on the award including transaction type, funding agency, program source, award title and Catalog of Federal Domestic Assistance number;
- location of the entity receiving the award and primary location of the performance under the award, including city, state, congressional district and country;
- **DUNS number** of the entity receiving the award or the parent entity of the recipient; and
- the names and total compensation of the five highest compensated officers of the entity if, during the preceding fiscal year, it received: (a) 80 percent or more of its annual gross revenues in federal awards, and (b) \$25 million or more in annual gross revenues from federal awards; or if the public does not have access to information about the compensation of the executive through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

**I keep  
hitting  
'escape,'  
but I'm  
still  
here.**



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## **Addendum to:**

- ***General Terms and Conditions for Awards***
- ***General Terms and Conditions for General Support Grants for State Humanities Councils***

**For NEH Awards issued October 1, 2010 or later**

**Reporting Subawards and Executive Compensation  
(2 CFR Part 170 - Requirements for Federal Funding Accountability and  
Transparency Act Implementation; Appendix A to Part 170--Award Term)**



## A. Reporting of first-tier subawards.

1. Applicability. Unless you are exempt as provided in paragraph D. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).
2. Where and when to report.
  - i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>.
  - ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
3. What to report. You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.



## **Central Contractor Registration and Universal Identifier Requirements (2 CFR Part 25 - Financial Assistance Use of Universal Identifier and Central Contractor Registration; Appendix A to Part 25--Award Term)**

### **A. Requirement for Central Contractor Registration (CCR)**

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

### **B. Requirement for Data Universal Numbering System (DUNS) Numbers**

If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.



## C. Definitions

For purposes of this award term:

1. Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).
2. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
  - a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;



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<http://fedgov.dnb.com/webform>

- Data Universal Numbering System (DUNS)
- A web request can be completed with 1-2 business days
- Adopted by Federal Government in October 1994
- Included in the Federal Acquisition Regulations in April 1998

# Contractor Central Registry

[www.sam.gov](http://www.sam.gov)

- Requires you maintain a current DUNS #
- Available 3-5 business days
- Available 2-5 weeks if a new Tax ID # was recently issued
- Individual applicants do not need a DUNS #
- Individual applicants do not need to register with the CCR
- **Users Guide:** <https://www.bpn.gov/ccr/handbook.aspx>



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# System for Award Management

- **Your CCR username will not work in SAM.** You will need a new SAM User Account to register or update your entity records...
- You can register your Entity (business, individual, or government agency) to do business with the Federal Government...
- All entity records from **CCR/FedReg** and **ORCA** and exclusion records from **EPLS**, active or expired, were moved to SAM. You can search these records and new ones created in SAM...
- **If you had an active record in CCR, you have an active record in SAM.** You do not need to do anything in SAM at this time, unless a change in your business circumstances requires updates to your Entity record(s) in order for you to be paid or to receive an award or you need to renew your Entity(s) prior to its expiration. **SAM will send notifications to the registered user via email 60, 30, and 15 days prior to expiration of the Entity.** To update or renew your Entity records(s) in SAM you will need to create a SAM User Account and link it to your migrated Entity records. **You do not need a user account to search for registered entities in SAM by typing the DUNS number or business name into the search box**

COUNCILS reporting FFATA information will use the FFATA Subaward Reporting System (<http://www.fsrs.gov>), to report subaward information.

The site has been operational since October 2010

The prime awardees must report information related to the subaward by the end of the month following the month that the subaward or obligation was made

.



## EXAMPLE

if your council makes a regrant  
between  
Dec. 1 and Dec. 31, 2011,  
it **must** submit subaward information by  
Jan. 31, 2012.



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# www.grants.gov

- The Security Build is an update to the Grants.gov system to comply with the National Institute of Standards and Technology (NIST) security standards. The changes were available as of October 11, 2010. Applicants will experience a number of system changes that include updates to passwords and logins, including:
  - New password requirements
  - 90-day password expiration
  - New change password option
  - Enhancements to "I Forgot My Password"
  - Account lockout for incorrect passwords
  - User roles removed after one (1) year of inactivity
  - Updates to the user profile.

Please note:

- **Expired DUNS # will now cause access denial to this site**
- For Funding Opportunities posted after October 11, 2010:
  - Users may experience invalid user name and password messages when attempting to submit application packages. These users will be asked to reset their password using the "Password Reset" functionality.



# More Changes On the Horizon

## OMB

- Raise the single audit threshold- \$ TBD
- Flat rate IDC
- Streamlined or a single consolidated set of circular guidelines

## Agency

- Process to evaluate applicants based on risk/merit
- Close out awards sooner



# OGM Personnel Changes

Steve Veneziani-  
OGM Deputy Director  
retired effective Nov 30,2012

Susan Daisey-OGM Director  
is retiring  
effective Jan 03,2013

I am currently the  
Acting Deputy Director for the OGM



We will be moving  
to the newly renovated  
Old Department of  
Transportation Building  
Date- TBD  
October 2013-March 2014



