LIBRARY LIBRARY OF CONGRESS

The Library of Congress

# Of the People: Widening the Path:

## Community Collections grant to Individuals

Notice of Funding Opportunity

9-3-2021

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## A. PROGRAM DESCRIPTION

The Library of Congress is announcing a Notice of Funding Opportunity (NOFO) to award grants in support of contemporary ethnographic field research focusing on the cultures and traditions of diverse communities across the United States. ~~This funding opportunity is authorized by 21 U.S.C. 2101, et seq.~~ The resulting award will be subject to the Library of Congress Regulation (LCR) 7-310 and provisions of 2 CFR 200 – Uniform Administrative Requirements, Costs Principles and Audit Requirements for Federal Awards as indicated.

### A.1 Background

The Library of Congress is the largest library in the world, with millions of books, recordings, photographs, newspapers, maps and manuscripts in its collections. The Library has dedicated significant resources to collecting born-digital materials and digitizing its tangible collections. The Library's Digital Strategy (www.loc.gov/digital-strategy) outlines the ways that technology and digital approaches can enable the Library to meet its goal of ensuring that "All Americans are connected to the Library of Congress." The Library's mission is to engage, inspire, and inform Congress and the American people with a universal and enduring source of knowledge and creativity.

### A.2 Purpose

Through a gift from the Andrew W. Mellon Foundation, the Library will support a multiyear initiative the entails public participation in the creation of archival collections. Specifically, the Library of Congress seeks to award grants to support contemporary cultural documentation focusing on the culture and traditions of diverse, often underrepresented communities in the United States. These projects will result in archival collections preserved at the American Folklife Center and made accessible through the Library of Congress' web site. The major goals of this grant program are to enable communities to document their cultural life and experiences from their own perspectives, while enriching the Library's holdings with diverse materials featuring creativity and knowledge found at the local level. As such, successful applications will come from individuals closely affiliated with the community they propose to document.

Funding through these grants can be used to cover travel, equipment rental or purchase, and other expenses associated with cultural documentation fieldwork. American Folklife Center folklorists and archivists may assist successful applicants in providing support for specific aspects of cultural documentation activities, such as sharing expertise or training in fieldwork methods, archival practices, and associated digital technologies. Library staff may also be available to provide technical advice, and work with successful applicants to facilitate a cohort for sharing knowledge and lessons learned. Successful applicants may develop public programs in their home communities connected to their projects. The American Folklife Center is seeking to build long-term relationships with grantees and to give grantees the opportunity to present their work in a forum at the Library of Congress in Washington D.C.

The following list is meant to inspire, but not limit, possibilities with regards to cultural documentation projects applicants might propose. Projects could include a combination of interviews, still photography, digital video, field notes, or other forms of documentation:

- Exploration of a community festival or other culturally-meaningful celebration through interviews with organizers and participants, audio-visual documentation of activities affiliated with the event (including planning, set up, and post-event activity), and any ephemera or material culture
- Seasonal or periodic documentation of institutions or gathering places, such as farmers markets, informal social hang-outs, craft fairs, or other periodic spaces that might serve as anchors or markers of community

- Community-centric reflection on emergent cultural forms or practices, such as creative or artistic activity that have developed as responses to shared collective experience of widespread recent phenomena such as the COVID-19 pandemic, social justice movements, or economic change
- Broad examination of community-specific cultural practices that can serve as markers of various aspects of identity, such as practices around death or bereavement, life milestones, or transition into different modes or phases of living; transmission of language or other intangible aspects of heritage; or informally learned aspects of communication that help cohere a social group
- Oral history of a neighborhood or other type of geographically-delimited community that tracks change and continuity from the perspective of residents, both long-term and newly arrived

**A.3 Program Expectations and Deliverables**

A.3.1 **Cultural documentation project**

Design, develop and implement a project that enables communities to document their cultural life and experiences from their own perspectives, while enriching the Library's holdings with diverse materials. The project must feature creativity and knowledge found at the local level. Successful applications will come from individuals closely affiliated with the community they propose to document. In addition to providing collection materials to the Library, awardees may also retain copies for deposit and preservation in local institutions.

A.3.2 **Contribute to blog**

All successful applicants will be invited to write posts for the Library blog(s) about their project.

A.3.3 **Host a public program**

Successful applicants are encouraged to host a public program in their home community that is designed to share the project locally.

A.3.4 **Participate in symposium**

Successful applicants awarded grants under this NOFO will be invited to participate in a symposium in 2024 hosted by the Center at the Library of Congress. Representatives from projects funded in each year may agree to participate in this non-mandatory symposium to share elements of their documentation and discuss their experiences. The Library will pay travel separately, and participation will not impact a grant award and should not be included in proposed project costs.

A.3.5 **Add to the Library's Archive of Folk Culture**

Successful applicants agree to provide the American Folklife Center with the cultural documentation materials created during the period of performance of the grant. Successful applicants may also choose to keep copies of the collection materials in the community, and American Folklife Center staff can offer technical assistance and guidance to support local stewardship. The Library intends to be attentive to culturally sensitive materials that may be included in a project, and will work with grant awardees to determine the most appropriate approach regarding access. Successful applicants must adhere to ethical standards for cultural documentation, including obtaining consent and permissions to conduct fieldwork and deposit materials at the Library of Congress. The Library will provide Library-approved release forms.

Successful applicants must submit documentation in digital formats using American Folklife Center metadata forms for descriptive, administrative, technical and other data. In addition to audio or video interviews, submitted materials must include time-coded logs or time-coded transcripts and permission and release forms signed by interviewees. Library staff will provide training and information regarding

accepted Library of Congress standards and practices for submitting collections. All digital submissions will be in accordance with the following specifications:

- Digital audio: 96 khz/24bit or 44.1 khz/16bit .wav file (only .wav files will be accepted).
- Digital video: high-resolution digital video format (consult with AFC staff for specifications)
- Digital images: high-resolution digital images, uncompressed and nonproprietary file formats (TIFF)
- Text files (for logs, field notes, final report, etc.): Microsoft Word

### A.4 Overview of Selection Process

The Library will use a panel review process to evaluate all eligible and complete applications. Panelists are professionals in the Library and/or field with relevant knowledge and expertise in the types of project activities identified in the application. The selecting official will review panel recommendations and make final funding decisions consistent with the purposes of the program's mission and goals.

Applications will be evaluated primarily for:

- Advancement of program goals
- Feasibility of project outcomes
- Alignment of applicant background and experience
- Reasonableness of costs and likelihood that budget will support project execution

Section E. Application Review provides more detailed information about evaluation criteria.

## B. FEDERAL AWARD INFORMATION

| | |
|---|---|
| Federal Agency Name: | **Library of Congress (Library)** |
| Opportunity Title | **Of the People: Widening the Path: *Community Collections grant (individual)*** |
| Opportunity Number | 030ADV21R0636 |
| Period of Performance | 12 months |
| Application Submission Deadline | ~~September 7, 2021~~ September 13, 2021 |
| Expected Start Date | December 17, 2021 (earliest) February 1, 2022 (latest) |
| Estimated Funds Available and Number of Awards | The Library of Congress intends to award up to 10 Grants pursuant to this notice of funding opportunity. The Library's intention is to make grant awards of up to $50,000, except that grants that propose to host a public program in their home community may be up to $60,000. |
| Funding Instrument Type | **Grant** |

The Library reserves the right to select for award any, all, part, or none of the proposals received in response to this Notice of Funding Opportunity (NOFO). Additionally, the Library may modify the schedule or program areas by amending this NOFO. The amendments will be posted in the same space as this NOFO. It is the responsibility of the applicant to be aware of the amendments by regularly checking the website.

Applicants cannot recover expenses for proposal/application preparation or submission from any awards resulting from this NOFO.

## C. ELIGIBILITY INFORMATION

### C.1 Eligible Applicants

Eligible applicants must be individuals who are U.S. citizens or Permanent Residents. Eligibility extends to all 50 U.S. states, protectorates, territories, and the District of Columbia. If an individual seeks to apply on behalf of one's organization (i.e., in an official capacity), individual must review and submit an application using the NOFO's for Organizations (030ADV21R0637).

### C.2 Other Eligibility Information

- An eligible applicant may submit only one application under this announcement.
- Successful applicants cannot reapply in subsequent years for the same project.
- To be eligible, projects must involve new, original cultural documentation of contemporary cultural life and activities from communities within the United States. This award is not intended to support research projects undertaken for the completion of university degrees, and the Library will not support such projects.
- Late, incomplete, or ineligible applications will not be considered for funding under this notice.
- The Library will notify an applicant if their application will not be reviewed due a determination of ineligibility.
- An individual that submits an application may be disqualified if the individual or any principal has, within the past five years, been subject to a finding of fault or conviction in a Federal or state criminal, civil, or administrative proceeding in connection to the award to or the performance of a Federal grant or contract.

### C.3 Cost Sharing

Cost sharing is not allowed under this Notice of Funding Opportunity (NOFO).

## D. APPLICATION AND SUBMISSION INFORMATION

### D.1 Agency Point of Contact

| | |
|---|---|
| Janet Starkweather<br>Grants Officer – Contracts and Grants Directorate | Email: AFC-grants@loc.gov |
| Library of Congress - 101 Independence Avenue, S.E., Washington DC, 20540 | |

### D.2 Questions and Answers

All questions relating to this NOFO must be submitted via email to the Janet Starkweather at AFC-grants@loc.gov no later than 5:00 pm (Eastern Time) on August 13, 2021. Answers will be provided in an online document hosted at http://blogs.loc.gov/ofthepeople/2021/07/grant-support-and-faq-for-community-collections-2021/, and no questions will be accepted after the due date. The subject of each e-mail must read as follows: **NOFO -030ADV21R0636 – AFC - 2021**.

### D.3 Application Package and Submission Requirements

All submissions must be in English, arrive before 12:00pm (Noon Eastern Time) on the due date listed, be priced in U.S. Dollars, and must meet the specifications of this NOFO.
By signing and submitting the application form, the applicant assures and certifies that the applicant will comply with the policies and statutes outlined in Section G Federal Award Administration and all related Library regulations.

To satisfy all requirements, each applicant must and complete the following steps:

| **Overview of Application Components**<br>*Detailed information available in Sections identified as NOFO Reference* | | |
|---|---|---|
| **Applicant Responsibility** | **Explanation** | **NOFO Reference** |
| | | |
| Proposal Narrative | Copy and paste the outline provided in the NOFO to sufficiently explain the proposed project including participant roles and credentials, project activities, outcomes, relevant past work, project timeline, and budget justification. Applicant shall submit two (2) electronic files of the proposal (one MS Word version and one pdf version). | Sec. D.5.1 |
| Budget Plan Worksheet Template, Budget Narrative, Spending Summary and Plans | Complete the template worksheets (XLS) – Budget Plan Worksheet Template – Grants to Individuals - attached to this NOFO to describe and explain both program and administrative costs for the proposed project. In addition applicants must provide a budget justification narrative as described in Section D.5.2. | Sec. D.5.2 |
| Required Form(s):<br>SF- 424 " Application for Federal Domestic Assistance – Individual" | The SF 424 form, required for all federal grants, collects basic information about the applicant, type of submission, type of applicant, and the proposed project including a brief description and estimated project funding. | Sec. D.5.3 |
| Submit Complete Package via email by defined due Date | All proposals must be submitted electronically via email to Janet Starkweather at afc-**grants@loc.gov** no later than 12:00 PM (Noon Eastern Time) on September 7, 2021. Proposals submitted through grants.gov will not be accepted. | Sec. D.6 |

### D.4 System for Award Management (SAM.gov)/Vendor Survey Form

To receive an award from the Library, successful applicants will need to be registered in a federal system that supports the payment process. Applicants can either register on SAM.gov, or complete a Vendor Survey Form (VSF) that will be provided during the grant award process. For the VSF you will be required to provide the following information:

- Name, Address, Phone Number
- Social Security Number or TIN number or DUNS number
- Financial Institution Name, Address, Phone Number, Routing ABA Number, Account Number, Account Title, Type of Account (Corporate Checking, Personal Checking)

If you chose to register on SAM.gov the process is as described in Appendix A.

### D.5 Content and Format of Applications

Review all content and format information before beginning an application, referring to instructions as needed.

D.5.1 Proposal Narrative and Format

You may use the outline and instructions as described in this section to complete and submit the necessary Proposal Narrative. The main body of the proposal must not be longer than 5 double-spaced pages in 11-point or 12-point font. The body of the proposal and any necessary appendices of supporting documents must be combined into one file.
Applicants must submit two (2) electronic files of the proposal narrative (one MS Word version and one pdf version).

D.5.1.1 **Cover Page**:

- Working title of proposed project
- Applicant's name, phone number, mailing and email addresses
- DUNs Number or TIN as applicable
- Date of submittal

D.5.1.2 **Key Project Staff / Consultants**

- A list of essential project team members who will carry out the funded activities, including descriptions of their roles in the project, and prior experience that demonstrates their ability to carry out the tasks assigned to their role. For project staff not known by name by the application deadline, applicant should list the position title instead.
- As an Appendix, provide a brief resume for each individual identified. For project staff not known by name by the application deadline, applicant should provide a position description that identifies the qualities, range of experience, and education necessary to successfully implement and complete project activities.

D.5.1.3 **Detailed Description of the Proposed Project**

In this section, applicant should provide the following:
- Brief description of community and cultural activity that will be documented.
- Description of the planned cultural documentation activities and methods
- Description of the technologies that will be used for cultural documentation.
- A work plan that demonstrates realistic and sustainable learning outcomes.

D.5.1.4 **Description of Past Activities:**
Applicant should provide descriptions of past activities relevant to the grant project proposed incorporating (as applicable): links, user testimonials, reviews, featured articles, research findings, etc.

D.5.1.5 **Budget Narrative and Completed Budget Plan Worksheet Template.**

Applicants must provide a Budget Narrative as described in Section D.5.2 and complete the Budget Plan Worksheet Template attached to this NOFO.

D.5.1.6 **Other Information**
If any of the following special circumstances are relevant to your specific circumstances, you must include certain information as an attachment to your proposal. List under "Other Information – [Insert Name of the Relevant Section]"

**a) Conflict of Interest Disclosure**
Recipients must notify the Grant Officer immediately in writing of any conflict of interest that arises during the life of their Federal award, including those reported to them by any sub-recipient under the award. The term employee means any individual engaged in the performance of work pursuant to the Federal award. ~~Recipients may not have a former Federal employee as a key project official, or in any other substantial role related to their award, whose participation put them out of compliance with the legal authorities addressing post-Government employment restrictions.~~ Federal employees may be eligible for awards; however, to avoid conflicts of interest or appearances of conflicts, such individuals must verify that the proposed project is distinguishable from present federal employment and position requirements and will be performed in one's personal capacity. The Library will examine each conflict of interest disclosure based on its particular facts and the nature of the project and will determine if a potential conflict exists. If it does, the Library will work with the recipient to determine an appropriate resolution. Failure to disclose and resolve conflicts of interest in a manner that satisfies the Library may result in any of the remedies described in 2 CFR 200.338 Remedies for Noncompliance, including termination of the award.

b) **Finding of Fault or Convictions in Past 5 Years**
If, within the past 5 years, applicant or any principal has been subject to a finding of fault or conviction in any Federal or state criminal, civil, or administrative legal proceeding in connection to the award to or the performance of a Federal grant or contract, then you must provide an explanation. The explanation should include information about each proceeding, namely:

- **Instrument**. This is the type of proceedings instrument, such as U.S. Federal issued contract, U.S. Federal issued grant/assistance instrument, State issued contract, and State issued grant.
- **State**. The state where proceeding occurred
- **Instrument Number**. The official number of the proceeding as assigned by instrument.
- **Type of Proceeding**, i.e., Administrative, Criminal, or Civil.
  Disposition, either Conviction / Finding of Fault or Other acknowledgment of fault.
- **Description of the Proceeding**. A comprehensive description (approx. 500 words) of the proceeding.

**c) Overlap or Duplication of Effort Statement**
Applicants must provide a complete description of overlaps or duplications between this proposal and any other federally funded project or application in regards to activities, costs, and time commitment of key personnel, as applicable. In the description, you should:

- Identify when that proposal was submitted, to whom (entity name and program), and when you anticipate being notified of their funding decision.

Provide a copy of any overlapping or duplicative proposal submitted to any other potential funding entity and end the statement with "We understand that if at any time we receive funding from another source that is duplicative of the funding we are requesting from the Library of Congress in this application, we will immediately notify the Library of Congress point of contact identified in this Funding Opportunity in writing."

**d) Applications with Proprietary Data**

The Library may share grant applications, work products, and reports with Library employees, external reviewers, or the general public to further the mission of the agency. Therefore, the Library discourages inclusion of proprietary data or information in applications. However, if a proposal contains information that constitutes a trade secret, proprietary commercial or financial information, or similar confidential information, the Library will handle such information in accordance with applicable law and provided that the information is clearly marked by the applicant. Note that any funded proposal will be considered an integral part of the award and normally will be made available to the public upon request and in accordance with applicable law.

Applicants who include propriety data must mark the cover page with the following: "This application includes marked proprietary data that must not be disclosed, duplicated, used, or disclosed for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, and disclose the data. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers}." Additionally, the applicant must mark the specific data it wishes to restrict with the following: "Use or disclosure of this data is subject to the restriction on the title page of this application."

D.5.2 Budget Narrative (Justification), Spending Summary and Plans

To justify final grant amount, applicants must submit the completed Budget Plan Worksheet Template attached to this NOFO and provide a Budget Narrative (Justification) demonstrating a clear connection between expenses and proposed project activities and objectives. The Budget Narrative is distinct from the Proposal, and should be 2-4 pages double-spaced in either 11-point or 12-point font. Dollar amounts referenced in the Budget Narrative must equal amounts identified in the Budget Plan worksheet.

A) Applicants must explain itemized costs to show that project plans are reasonable and will support a successful outcome. In the Budget Narrative component of the proposal applicants shall describe expenses, addressing questions such as:

- **Labor Hour Rates**. What compensation or salary will be paid to those conducting the fieldwork for cultural documentation? How many staff hours and what is the title of these or any other support staff? How did you arrive at these figures?

- **Travel**. What kinds of travel will support your project? What are your estimated itineraries and costs?

- **Equipment.** What kinds of equipment will you need to conduct the project? Provide vendor quotes or price lists as an appendix along with the application as needed. If equipment purchased previously with Federal funds is available for the project, provide a list of that equipment and identify the Federal funding source.

- **Supplies.** What kinds of supplies will be needed to support the project and what are you estimated costs? Provide vendor quotes or price lists as an appendix along with the application as needed.

- **Contractual**. What types of project activities will be undertaken by third parties for the project that would involve contractual relationships? Identify each third party by name, describing their

role in the project, and the nature of their relationship with the applicant. Explain costs for third parties and provide relevant supporting documents as an appendix along with the application.

- **Other Costs**. What kinds of costs central to the success of the project do not fall in the above categories? Explain the nature and purpose of costs that cannot be assigned to other categories.

B) Applicants may use grant funds only for allowable costs as found in federal government-wide cost principle rules. The Budget Justification should also identify any special or unusual cost that requires prior approval under the Federal cost principles. See 2 CFR 200.407.

1) Some examples of **generally allowable costs** under this announcement include costs such as: labor-hour charges; travel expenses for applicant; materials, supplies, software, and equipment related directly to project activities; adaptive and/or assistive technologies and other resources and services to improve accessibility for persons with disabilities; third-party costs; publication design and printing.

2) Examples of **unallowable costs** under this announcement include: general fundraising or grant management costs; contributions to endowments; general operating support; general advertising or public relations costs designed solely for promotional activities other than those related to the specific project; social activities, ceremonies, receptions, or entertainment.

3) Applicants should pay special attention to prohibitions or limitations including:

- Expenses must be incurred during the award period of performance unless otherwise specified and allowed by law.
- Federal funds from other federal awards may not be used for cost sharing.
- For additional information please consult 2 C.F.R. part 200 and 2 C.F.R. part 3187 for additional guidance on allowable costs

D.5.3 Required Form(s) SF-424 Application for Federal Assistance

All applicants must complete the appropriate standard SF-424, Application for Federal Assistance attached to this NOFO. Required application forms are available at the Forms Repository on grants.gov.

*For Individuals*
**Application for Federal Domestic Assistance- Individual**
(OMB 4040-0005, Expiration 01/31/2023)
https://www.grants.gov/web/grants/forms/sf-424-individual-family.html

**D.6 Email Submission Requirements**

All proposals must be submitted electronically via email by the day and time specified in D.3 Application Package and Submission and with the following requirements:

- The email must include the opportunity number (030ADV21R0636) in the subject line.
- The maximum size file allowed through the Library's email system is 20MB. In addition, certain files might need to undergo a conversion to be accepted by the Library's servers. This conversion increases the file size by 30% to 40%, therefore, please take this into consideration, when determining ultimate file sizes. If needed, applicant may send the proposal across multiple emails but must ensure they are all clearly identified, with the opportunity number [030ADV21R0636] and an identifier ("1 of X emails", "2 of X emails", etc.) in the subject line.
- Applicant must not submit zipped or locked files.
- Out of an abundance of caution, it is recommended that applicants send application emails with Receipt Requested.

## E. APPLICATION REVIEW AND AWARD

### E.1 Criteria for Proposal Evaluation

The Library will assemble panels comprising a member of the American Folklife Center Board of Trustees, American Folklife Center staff, and invited panelists. This committee will assess each proposal on its feasibility, alignment with stated program goals, contributions to the cultural and geographic diversity of AFC holdings, and articulated value to the community of origin.

Specifically, key considerations in evaluating each application will be

A) **Advancement of program goals**
- The extent to which the applicant's proposal shows a connection to the community proposed. Applicants must articulate the relationships and connections to the community and its cultural practices
- Are the project's intended results clearly articulated and meaningfully linked to program objectives?
- Will the project result in meaningful change in the public knowledge, capabilities, behaviors, and/or attitudes of the intended audience?

**B) Feasibility of successful project outcomes**
- The extent to which applicant provided information on the types of cultural activity, experience, and/or traditions they will document. Applicants must offer examples of the kinds of community cultural practices (e.g. events, performances, material culture) that will be documented and the means that will be used (e.g. audio recorded interviews, photographs, descriptive notes).
- Are the proposed activities informed by appropriate theory and practice?
- What are the risks to the project and how will applicant mitigate them?
- Has applicant shown they possess the capacity to successfully complete the project?

**C) Background and experience**
- Applicant's expertise and experience that shows applicant has the necessary experience, training, or skills to complete the project. Formal training or credentials in ethnography/cultural documentation/fieldwork methods are not required, but familiarity with documentary tools and methods will make a proposal more competitive.
- Do the identified collaborators, consultants, and/or service providers possess the skills necessary to complete the work?

- Do past and current activities or experience demonstrate capacity to successfully complete the proposed project?

**D) Reasonableness of costs and likelihood that budget will support project execution**

- Extent to which applicant's proposal shows that the project be completed within a 12 month period.
- The extent to which the documentation strategy aligns with the availability of the applicant and access to cultural activity. Successful applications will provide evidence that the project can succeed and that the scale and scope is appropriate to the proposed budget and 12 month timeline.
- Has applicant demonstrated an understanding of the financial aspects of the proposed project?
- Can applicant support and complete proposed activities in the time allocated, through the effective deployment and management of resources, including, travel, equipment, and supplies?
- Are costs allowable under the cost principles found in 2 CFR 200 Subpart E?

## E.2 Notice of Federal Award

Following review, applicants may be requested to revise the project scope and/or budget before an award is made. The Library reserves the right to award without requesting clarification or additional detail on the application.

Once all outstanding issues have been resolved, the Grant Officer will send a draft Grant Agreement via email to the successful applicant(s) for review, comments and or acceptance to be followed by full execution of the Grant Agreement. The Grant Agreement will include instructions specific to each recipient on how to request payment. If applicable, the instructions will detail any additional information/forms required and where to submit payment requests.

Applicants whose projects are not selected for funding will receive written notice, most often by e-mail, within 60 days of the final review decision.

## E.3 Pre-award Risk Assessments

The successful applicant is responsible for ensuring achievement of the objectives described in this NOFO. Therefore, the applicant must be a responsible entity. The Grants Officer (GO) will decide on whether to subject the applicant to a pre-award survey, and based on the results, will make a determination if the prospective recipient is a responsible entity, whether the prospective recipient has the necessary, experience, accounting, and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

Prior to making an award under this NOFO, the Library of Congress may perform a pre-award survey for organizations or individuals that are new to working with the Library or for individuals with outstanding audit findings. Accounting systems, audit issues and management capability questions may be reviewed as part of this process. Depending on its result of the risk assessment, the Library may determine to execute the award, not execute the award, or award with "specific conditions" (2 CFR 200.207). If notified by the Library that a pre-award survey is necessary, applicants must prepare in advance the required information and documents. A pre-award survey does not commit the Library to make an award to any organization or individual.

## F. PROJECT MANAGEMENT AND REPORTING

### F.1 Approval Needed for Modifications to Proposed Work or Budget

Any project carried out under a grant must be consistent with the proposal that is approved for funding by the Library. Any significant change to a grant project's programmatic scope, or planned budget requires the Library's explicit consent. The grantee shall submit, in writing (including email), all requests for a change to a grant project to the appropriate Library program officer for approval.

### F.2 Project Reporting

Grantees must adhere to all reporting requirements listed below; further, US Non-governmental organizations need to be in compliance with 2 CFR 200. You should submit all reports by the due date for approval to the GO via email. In addition to the reports below, the GO may request additional information to contribute to the internal Library project reviews.

F.2.1 Project Development Plan

Grantees are required to submit a project development plan detailing major activity and milestones, including semi-annual status updates and regular review by Library staff, within thirty (30) days of award for the Library's approval,.

F.2.2 Performance and Financial Reports

**Interim Reports:** Grantees are required to submit an **interim** performance report due on six (6) month "anniversary" of the initial award. The interim report should include

- A description of activities undertaken to date
- Identification of any challenges and how they were, or are planned to be, resolved
- A review of project expenditures to date by category and notification of any anticipated changes to the project's spend plan

An interim report can take the form of a memorandum (approx. 1-2 pages) to the attention of "OTP Program Technical Contact" sent in PDF format. Financial data must be submitted on the SF-425 and on the budget summary report. Recipients may use the SF 270 to in lieu of the SF 425 to report financial report expenditures. Financial expenditures should be reported no less than twice annually.

**Final Report:** A final performance report must provide qualitative and quantitative information describing activities carried out and specific results achieved during the period, namely:

- A description of activities undertaken
- A comparison of actual accomplishments with the established goals and objectives of the award described in the project plan
- A description of reasons why established goals were not met, if appropriate
- Key implementation challenges encountered and how they were, or are planned to be, resolved.
- A review of the project's budget (projected vs. actual) including specification of any significant variance using the Budget Narrative Charts, and
- Any other pertinent information relevant to the project results.
- Each report shall be accompanied by the Post-Award Federal Financial Report Form SF-425 available for download on grants.gov.

The final report shall take the form of a report (with cover and table of contents) sent in PDF format.

Final reports are due no later than 90 calendar days after the award period of performance end date or termination date.

F.2.3 Notification of Significant Developments

Events may occur between the scheduled performance reporting dates which have or could have significant impact upon the supported activity. In such cases, recipients are required to notify the Library in writing as soon as the recipient becomes aware of any problems, delays, or adverse conditions that will materially impair the ability to meet the objective of the Federal award. The notification must include a statement of any corrective action(s) taken or contemplated, and any assistance needed to resolve the situation.

The recipient should also notify the Library in writing of any favorable developments that enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

## G. FEDERAL AWARD ADMINISTRATION

### G.1 Administrative and National Policy Requirements

Awards resulting from this NOFO will be administered in accordance with the Library of Congress' Regulation LCR 7-310 (Grants and Funded Cooperative Agreements), policies in 2 CFR 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) described here and in the award, the Library General Terms and Conditions identified herein, and the Library Assurances and Certifications (Appendix B). Entities that receive Library funding must be familiar with these requirements and comply with applicable law.

### G.2 General Terms and Conditions

**Guidance.** Additional OMB guidance may be incorporated by reference into grant awards and, unless otherwise specified, includes the provisions identified herein. All such guidance will be administered in accordance with standard deferral requirements for grant agreements and as interpreted by the Library, including: 2 CFR 200, subparts D, E, and F.

**Record Retention.** Grantees shall retain all records relating to the grant award as stated in § 200.334 Retention requirements for records

**Branding.** Grantees shall not use the name "Library of Congress" or any abbreviation or subset of the name (such as "LC," "LoC," or "American Folklife Center") to explicitly or implicitly endorse a product or service or materials in any publication, including online. Subject to the Library's prior written approval over all aspects of the use and presentation of the Library's name and logo, Grantees may use the name Library of Congress in connection with publication, distribution, packaging, publicity and promotion of the grant project or products produced as a result of a grant agreement. In addition, Grantees will acknowledge the collaboration with the Library by including a credit line in or on projects created under the terms of a grant agreement with the Library that reads "The [title of program/ project] has been made possible in part by a grant from the Library of Congress."

### G.3 Certifications

As an applicant for Federal funds, you must certify that you are responsible for complying with certain nondiscrimination, debarment and suspension, drug-free workplace, and lobbying laws. These are set out in more detail, along with other requirements, in Appendix B Assurances and Certifications.

By submitting the application, which includes the Assurances and Certifications, you certify that you are in compliance with these requirements and that you will maintain records and submit any reports that are necessary to ensure compliance.

Applicant's failure to comply with these statutory and regulatory requirements may result in the suspension or termination of your award and require you to return funds to the government.

## G.4 Disclosures and Other Required Notifications

### G.4.1 Criminal, Civil, and Administrative Proceedings Disclosure

Applicant must disclose to the Library all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award in writing and in a timely manner.

Non-Federal entities that receive a Federal award including the terms and conditions outlined in 2 CFR 200, Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters are also required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in 2 CFR 200.338 Remedies for Noncompliance, including suspension or debarment.

### G.4.2 Total Value of Federal Assistance is Greater than $10,000,000

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds $10,000,000 for any period of time during the period of performance of this Federal award, you must maintain the currency of Proceedings and Exclusions information you report to the System for Award Management (SAM). This information is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS) in accordance with Appendix XII to 2 CFR 200.

## G.5 Intellectual Property Rights and Data Availability

**Access and Use**.
The Library's intention in this NOFO is that the collections created are of maximum benefit to the American people and contribute to public knowledge. To that end, documentation delivered under this grant will be deposited in the permanent collection of the Library of Congress's American Folklife Center, where it will be made available to researchers and other library patrons under existing copyright laws and regulations of the Library of Congress. In addition to digital collection materials deposited with the Library, copies may be retained by the interviewer and/or the local organization participating in the project.

The Library's preference is for projects that extend an open license for non-commercial public use to the collection materials, but we encourage applicants to describe in detail any specific limitations they might predict for portions of the collection. The Library intends to be attentive to culturally sensitive materials that may be part of documentation gathered during a project, and will work with grant awardees to determine the most appropriate approach regarding access. Interviewers and interviewees will be asked to sign releases granting the Library of Congress the perpetual and nonexclusive, transferable, worldwide rights to use, reproduce, transmit, display, perform, prepare derivatives works from, distribute, and authorize the distribution of the documentation. The permission includes use of the documentation for archival purposes (such as preservation and service to the public) and for non-commercial projects of the Library of Congress. This permission authorizes use of the documentation on the Library's Website, on third party Websites, and in/on all existing and future forms of media.

Applicant must describe any limitations on any intellectual property that will affect applicant's performance of the grant or affect the Library's (or the public's) subsequent use of any deliverable under the agreement (e.g. potential documentation of copyrighted cultural material). In particular, the applicant must describe the intellectual property in sufficient detail, clearly state any limitations, and describe how the Library can use the work with the limitations described or proposed by the applicant.

## H. FEDERAL AWARDING AGENCY CONTACTS

| **Program Technical Contact** | |
|---|---|
| *For information regarding AFC documentation standards or digital submission specifications, inquiries regarding fieldwork and methods, information about the Library's collections, or other programmatic guidance.* | |
| John Fenn<br>Head, Research and Programs | Email: jofe@loc.gov |

| **Program Administration** | |
|---|---|
| *For inquiries regarding financial matters, reporting, and grant terms or conditions, including grant administration matters (such as requests for extensions or modifications).* | |
| Janet Starkweather<br>Grants Officer<br>Contracts and Grants Directorate | Email: AFC-grants@loc.gov |
| Library of Congress - 101 Independence Avenue, S.E., Washington DC, 20540 | |

## I. OTHER INFORMATION

### I.1 Payments Schedule

The total grant award amount will be paid in three installments. The schedule will be included in the grant agreement and successful applicants will be required to submit an SF-270 to request funding.

Up to 60% within 30 days following project start
Up to 30% within 180 days after project start
Remaining 10% following receipt of the final report

### I.2 Payments and Invoice Instructions

Successful applicants that are registered on SAM.gov can choose to receive payment by submitting invoices through ipp.gov. Additional information will be provided in the grant agreement. Alternatively, successful applicants that choose not to be registered on SAM.gov may submit invoices directly to the Library via email. Additional information will be provided in the grant agreement.

### I.3 Other Information

The Library reserves the right to fund any or none of the applications submitted. The GO is the only individual who may legally commit the Library to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Library programming.

**Appendix A: DUNS Number and SAM.gov**
Individual applicants are encouraged to register in SAM.gov. To do so you must obtain a Data Universal Numbering System (DUNS) number (see detailed description below) from Dun & Bradstreet and then register in SAM.gov. **There is no cost to register with Dun & Bradstreet or SAM.gov**. There are third-party vendors who will charge a fee in exchange for registering entities with Dun & Bradstreet and SAM.gov; **please be aware you can register and request help for free**. Award recipients registered in SAM.gov should continue to maintain an active SAM.gov registration with current information through the life of their Federal award(s).

**Obtain a DUNS Number**
A Data Universal Numbering System (DUNS) number is a unique nine-character identification number Dun & Bradstreet provides free of charge to organizations and businesses. All non-federal entities applying for assistance as organizations are required to have a DUNS number in order to register in SAM.gov.

Request a DUNS Number through the Dun & Bradstreet website. For technical difficulties, send an email to the D&B SAM Help Desk. Please ensure that you are able to receive emails from SAMHelp@dnb.com. The Grants.gov "Obtain a DUNS Number" webpage also provides detailed instructions. Once assigned a DUNS number, your organization must maintain up-to-date information with Dun & Bradstreet. Applicants must enter their DUNS number in the "Organizational DUNS" field on the SF-424, Application for Federal Assistance form.

**Register with the System for Award Management (SAM)**
Register on the SAM.gov website. The "Help" tab on the website contains User Guides and other information to assist you with registration. The Grants.gov "Register with SAM" page also provides detailed instructions. You can also contact the supporting Federal Service Desk for help registering in SAM. Once registered in SAM, entities must renew and revalidate their SAM registration at least once every 12 months from the date previously registered. Entities are strongly encouraged to revalidate their registration as often as needed to ensure their information is up to date and reflects changes that may have been to the entity's DUNS or IRS information.

Once you have been assigned a DUNS number, you must annually register on SAM.gov to remain eligible to receive program financial assistance. Entities are strongly encouraged to revalidate their registration as often as needed to ensure their information is up to date and reflects changes that may have been to the entity's DUNS or IRS information.

To complete the process on SAM, you will need the same kind of information used to obtain your DUNS number as well as your Tax Identification Number (TIN) and other data to complete registration and reporting requirements.

**Appendix B: Assurances and Certifications**

**Nondiscrimination.** Grants are subject to the provisions of: Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d *et seq.*), which prohibits discrimination on the basis of race, color, or national origin; Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86 *et seq.*), which prohibits discrimination on the basis of sex in education programs; Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability; the Age Discrimination Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*); the requirements of any other nondiscrimination statutes that may apply to the application and implementing regulations.

**Lobbying Activities.** 31 U.S.C. § 1352 generally prohibits recipients of federal contracts, grants, loans or cooperative agreements from using appropriated funds to influence the executive or legislative branches of the federal government in connection with a specific contract, grant, cooperative agreement, loan, or any other award covered by § 1352. 18 U.S.C. § 1913 makes it a crime to use funds appropriated by Congress to influence members of Congress regarding congressional legislation or appropriations.

**Drug-Free Workplace.** The Library adopts the policies in the Drug-Free Workplace Act of 1988, 41 U.S.C. § 8103, which requires grantees to have an on-going drug-free awareness program; to publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the workplace; to maintain evidence that this statement was given to each employee engaged in the performance of the grant; and to identify in the funding proposal or to keep on file in its office the place(s) where grant activities will be carried out.

**Debarment and Suspension.** Applicant institutions or their principals must not be presently debarred or suspended or otherwise excluded from or ineligible to participate in federal assistance programs. An applicant or grantee shall provide immediate written notice to the Library's Grants Officer if at any time it learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances. Grantees shall not make or permit any sub-grant or contract to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in federal assistance programs. Grantees and sub-grantees must not make any award or permit any award (sub-grant or contract) at any tier to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs.

**Trafficking in Persons.** Applicant institutions are prohibited from engaging in various forms of exploitation or trafficking in persons and certify, as a condition of an award, that the applicant will comply with the trafficking in persons requirements that are set out in 2 C.F.R. § 175.15, Award Term.