



Responsibilities and Reporting Requirements for Opportunity Grant Recipients

The board of directors and staff of OCH offer our congratulations on the success of your opportunity grant proposal. This document contains information to assist the grant's project director in managing the grant award. The authorizing official of the sponsoring organization also should read it prior to signing the project agreement in order to understand the responsibilities and reporting requirements of the grant award. If you have any questions, please contact OCH's Program Director Jennifer Allen at (503) 241-0543 ext. 118 or jallen@oregonhum.org.

I. OCH Re-grants Federal Funds

Opportunity grants are funded in part through a grant to OCH from the National Endowment for the Humanities (NEH). OCH is responsible for ensuring that grantees are aware of the legal mandates that apply whenever federal funds are disbursed. Prior to accepting your grant you should download and become familiar with the following Office of Management and Budget (OMB) circulars, as appropriate to your institution. You may download the following at <http://www.whitehouse.gov/omb/circulars/index.html>:

- A-21 Cost Principles for Educational Institutions
- A-87 Cost Principles for State, Local, and Indian Tribal Governments
- A-102 Grants and Cooperative Agreements with State and Local Governments
- A-110 Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations
- A-122 Cost Principles for Non-Profit Organizations
- A-133 Audits of States, Local Governments, and Non-Profit Organizations.

In addition, by signing the project agreement, the authorizing official of the sponsoring organization and, by reference, the project director, are providing the applicable federal certifications regarding compliance with nondiscrimination statutes, debarment, and suspension, as follows:

Certification regarding debarment, suspension, ineligibility, and voluntary exclusion—lower-tier covered transactions, 45 CFR 1169.

- a. The lower-tier participant (grantee) certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- b. Where the prospective lower-tier participant is unable to certify to any of the statements in the certification, grantee shall attach an explanation to this proposal.

Certification regarding the nondiscrimination statutes.

The grantee certifies that it will comply with the following nondiscrimination statutes and their implementing regulations:

- a. Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance
- b. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance
- c. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance
- d. Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 et seq.), which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except those actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

II. The Terms of Your Opportunity Grant

Your **award letter** specifies the amount of your grant, the dates between which grant activities must take place (the **grant period**), any conditions your organization must meet before grant funds are released, and any limitations on the grant. Expenditures of grant funds are strictly limited to activities taking place within the grant period.

These terms are formalized in your **project agreement**, which describes the legal relationship between your project's sponsoring organization (the **grantee**) and OCH (the **grantor**). The grantee's authorizing official should print and sign two copies of the project agreement, retain one signed copy for the organization's records, and return the other signed copy to OCH in order to accept your grant award. Upon receipt of the signed project agreement, OCH will disburse the grantee's award monies. Checks will be made payable to the sponsoring organization and mailed to the organization's authorizing official. In addition to the project agreement, several other documents help define the terms of your opportunity grant.

The **event confirmation** form (if applicable) enables OCH to track grant events and publicize them to our constituents. Your **final narrative report** (see below) will require accurate attendance figures for each event supported by OCH funds. The project director is responsible for completing the event confirmation form and returning it to OCH *at least two weeks before the first grant event or ASAP, depending on the length of your grant period*. Changes to the event confirmation form should be made in writing at least two weeks before the affected event. Keep a copy of the completed form for your reference when preparing the final narrative report at the end of the grant activities.

The **federal labor standards for professional performers** form is required whenever a grant activity employs professional performers or support personnel. It must be signed and returned with the grant's project agreement.

The **final fiscal and narrative report** forms and the **grant product submission** form must be completed and submitted within sixty days (60) of the end of the grant period described in the project agreement. Your grant remains open until the receipt of these materials.

III. Changes to Grant Personnel, Activities, or the Grant Period

Opportunity grant funds may be used only for the purposes and activities originally approved, or subsequently amended in writing, by OCH. Amendments that require OCH's approval include, but are not limited to, changes to the project's scope or public program components; changes to the project director, scholars, or other key personnel; and changes to the grant period. Proposed amendments must be submitted to OCH in writing, and changes may not be implemented without OCH's approval. Requests for extending the grant period must be made in writing *at two weeks prior to the end of your grant period, or ASAP, depending on the length of your grant period*.

IV. Changes to the Grant Budget

Requests to make significant budget changes must be submitted to OCH in writing, either by email or hard copy, by the grant's project director, and those changes may not be implemented without OCH's written approval.

V. Informing Elected Officials about OCH Grants and Grant Events

Grantees must inform their state and federal legislators in writing about OCH's support for their project prior to the start of grant activities. The letters should explain the significance of the project to your community and thank the legislators for their support of cultural institutions and humanities programs in Oregon. Copies of the letters must be included with your final narrative report. Contact information for state and federal legislators may be found at <http://www.leg.state.or.us/findlegsltr/findset.htm>. OCH recommends that you invite your state and local legislators to attend grant events (if applicable). A sample letter to legislators is included in your grant materials as reference. OCH will invite our staff and board members to public grant events based on the information supplied in your event confirmation form (if applicable); do not send separate invitations to them in care of our office. Instead, submit one formal invitation in print or electronic form to OCH Program Director Jennifer Allen, who will forward as appropriate.

VI. Public Relations for Grant Events (if applicable)

Grantees are responsible for publicizing grant events in a timely manner and in a way that is designed to encourage participation by a broad spectrum of community members. Keep copies of all public relations materials in order to include them with your final report. Grantees are required to incorporate the following elements into introductory remarks at

grant events and all written, print, or electronic public relations and informational materials produced in support of the grant:

- “This project was made possible in part by a grant from the Oregon Council for the Humanities (OCH), a statewide nonprofit organization and independent affiliate of the National Endowment for the Humanities, which funds OCH’s grant program.”

- The OCH logo will be emailed to you for use in all public relations materials. Contact OCH to request a camera-ready hard copy of the logo.

VII. Record Keeping for Your Opportunity Grant

OCH does not require any particular bookkeeping system, except to say that the system should be consistent with generally accepted accounting principles. All financial records relating to your grant should be retained for at least three years in the event that your grant is audited. You must carefully track attendance at all grant events, if applicable. The total attendance figure and a breakdown of attendance for each separate event are required in your final narrative report.

VIII. Closing Your OCH Grant

OCH will close your grant upon receipt of the final fiscal and narrative reports, copies of letters to legislators, copies of public relations materials, and a completed grant product submission form. These documents are due within sixty (60) days after the end of the grant period described in your project agreement. Please refer to paragraph 13 of your grant project agreement and the grant product submission form for details regarding furnishing OCH with media related to your opportunity grant. *Please submit all final reporting materials by the due date; OCH monitors grant compliance and grant panelists do take into account grant compliance history when making future funding decisions.*

You are ineligible to apply for future OCH opportunity grants until your current opportunity grant is closed. Please note that you may only receive one OCH opportunity grant within a twelve-month period. All final reporting materials should be sent to the attention of OCH Program Director Jennifer Allen.



Opportunity Grant Checklist

To do immediately:

- Review all grant documents.
- Print out two (2) copies of the grant project agreement and have authorizing official sign both. Keep one signed copy for your files and send the second signed copy to OCH to formally accept your grant award.
- Complete and submit your event confirmation form and Federal Labor Standards form (if applicable) to OCH.
- Compose and send letters to your legislators announcing your OCH grant. Remember to keep file copies!
- Notify OCH of any changes to your project budget, key personnel, or grant period.

To do after your grant project is completed:

- Complete the final fiscal report, final narrative report, and grant product submission form.
- Submit all final reporting materials to OCH along with copies of public relations materials (if applicable), copies of letters to legislators, and grant products as outlined in your grant product submission form.



Opportunity Grant Event Confirmation Form

If applicable, list **each event** supported by your opportunity grant and submit this form to OCH *at least two weeks before the first event or ASAP, depending on your grant period*. Please notify OCH of changes to events in advance and in writing.

Grant Title: _____ **Grant #:** _____

Event #1: _____

Date/Time: _____

Location/street address/city: _____

Contact person for this event: _____

Names of participating humanities scholars: _____

Event #2: _____

Date/Time: _____

Location/street address/city: _____

Contact person for this event: _____

Names of participating humanities scholars: _____

Event #3: _____

Date/Time: _____

Location/street address/city: _____

Contact person for this event: _____

Names of participating humanities scholars: _____



Federal Labor Standards for Professional Performers and Related Professional Personnel

As required by the federal government, grantees that employ professional performers and related or supporting professional personnel under an OCH grant are required to sign the assurance below that:

- These employees are paid, without subsequent deduction or rebate on any account, not less than the minimum compensation as determined in accordance with 29 CFR Part 505.3 to be the prevailing minimum compensation for persons employed on similar activities, and
- No part of any project or production which is financed in whole or in part under an OCH grant will be performed or engaged under working conditions which are unsanitary, hazardous, or dangerous to the health and safety of the employee engaged in such project or production.

The text of 29 CFR Part 505, originally published in the Federal Register on June 22, 1988, is included as a separate PDF for your reference. *If it is applicable*, this labor assurance form should be signed by the sponsoring organization's authorizing official and returned to OCH with the project agreement. OCH cannot release grant funds without a signed copy of this labor assurance, if applicable.

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OCH Grant # _____

U.S. Department of Labor
Employment Standards Administration
Wage and Hour Division



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 section 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

(Grantee)

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(j) 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.

Signature of Grantee

Date



Sample Letter to Legislators

May 1, 2008

Senator Ron Wyden
United States Senate
230 Dirksen Senate Office Building
Washington, D.C. 20510-0001

Dear Senator Wyden,

This letter is to inform you that our nonprofit organization, the Archaeological Legacy Institute (ALI), has just received a generous opportunity grant of \$1,000 from the Oregon Council for the Humanities (OCH) to support our efforts to bring the distinguished speaker, Dr. Donny George, to Oregon.

Dr. George was the Director General of the Iraq Museum at the time American military forces entered Baghdad in April 2003. The vandalizing of the Iraq Museum at that time was worldwide news. Since then, Dr. George has worked hard to repair the museum and recover the stolen artifacts, and to share his story about the plundering of the institution. He became a legal resident of the United States in 2006 when threats against his family forced him from Iraq. He has since joined the staff at SUNY Stonybrook.

With the assistance of this OCH opportunity grant, ALI will bring Dr. George to speak at the Hult Center for the Performing Arts on May 24 for our audience assembled at The Archaeology Channel's International Film and Video Festival. This festival is the only juried competition in the western hemisphere for films related to archaeology and indigenous cultures. In his first appearance on the west coast, Dr. George will relate the events of April 2003 and put the events in a worldwide context in which human cultural heritage is under threat from vandals, thieves, and a very busy international market in illicit antiquities.

As you might imagine, this program has deep significance for ALI's audience, as well as curious Oregonians, and we are grateful to you for supporting institutions such as the Oregon Council for the Humanities. Their humanities programs and grants made it possible for us to bring Dr. George face to face with the people of Oregon. Thank you!

Sincerely,

Richard M. Pettigrew, Ph.D.
Executive Director



Final Fiscal Report for Opportunity Grants

The authorizing official of the grant's sponsoring organization must sign and submit this form to OCH within sixty (60) days of the end of the grant period. The final narrative report, copies of letters to elected officials informing them of the grant award, copies of public relations materials, and completed grant product submission form are due at the same time.

Sponsoring Organization's Name and Mailing Address:	OCH Grant #: _____ Grant period covered by this report From: _____ to: _____ (month/year) (month/year)
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Status of Funds

- 1. Total project expenditures \$ _____
- 2. Total cost-share (all cash and in-kind contributions from your organization and/or third parties) \$ _____
- 3. Total amount of OCH Opportunity Grant \$ _____
- 4. Total expenditures charged to OCH Opportunity Grant (item 1 minus 2) \$ _____
- 5. If applicable, any unexpended Opportunity Grant funds (item 3 minus item 4) \$ _____

Unexpended opportunity grant funds must be returned to OCH. Enclose a check made payable to the Oregon Council for the Humanities that references your OCH grant number.

I certify that, to the best of my knowledge, this report is correct and complete, that there are no outstanding unpaid commitments of federal funds, and that all expenditures are for the purposes set forth in the opportunity grant application, award, and project agreement.

Signature: _____ Date: _____
(Sponsoring organization's authorizing official)

Name and title (printed): _____



Final Narrative Report for Opportunity Grants

The grant's project director must complete, sign, and submit this report to OCH within sixty (60) days of the end of the grant period. The final fiscal report, copies of letters to elected officials informing them of the grant award, copies of public relations materials, and completed grant product submission form are due at the same time.

Project title: _____ OCH grant #: _____

Sponsoring organization: _____

Please answer the following questions specifically. Attach your answers to this cover sheet and please do not exceed two single-spaced pages.

1. Describe the significant humanities themes and ideas that were explored through your grant project.
2. Discuss each scholar's participation in the project, using specific examples to illustrate how he/she drew upon the disciplines of the humanities to encourage critical thinking and improve the overall quality and depth of the project.
3. What elements of your project worked best? What parts were less successful? How might your project have been improved? Consider factors such as format, setting, audience outreach, scholar choice, cooperation with other organizations, publicity, and scheduling.
4. (Event-based projects only) How many people attended each grant event, and what was the cumulative attendance figure?
5. (Event-based projects only) What can you tell us about the composition of your audience? For example, are there common attributes of age, gender, or educational or professional background for a significant portion of your attendees? Describe the successes and/or challenges in attracting your anticipated audience and serving new audiences.

Project director's signature

Date

Name and title (printed)



Grant Product Submission Form

As outlined in paragraph 13 of your grant’s project agreement, you may publish the results of your grant activity; any publication must include the language outlined in paragraph 13. One copy of each such publication or media, if applicable, *as well as* grant-related media suitable for use by OCH, must be furnished to OCH. Media, in all formats, may be used at any time for a variety of purposes, including but not limited to grant publicity, reproduction in OCH publications, or promotional purposes.

Please consider the ownership and copyright of media you furnish to OCH for reproduction and/or use (ie. a professional photographer’s images of your grant event). OCH cannot reproduce and/or use media that isn’t properly credited or for which permission hasn’t been granted. To comply with copyright laws you, the grantee, must have permission to reproduce and/or use what you are sending, and OCH must provide a credit in our own reproduction and/or use. The individual or institution holding the copyright will usually supply you with a form to request permission to reproduce and/or use the media, and by signing this Grant Product Submission Form you authorize that you have gained such permission from the original owner.

Please ensure that all media is of the highest quality. If you are submitting photos, we can only accept high-quality prints or digital images that have a resolution of *at least* 300 dpi at 4 x 6 inches. Please submit DVDs and MP3s or CDs for video and audio submissions, respectively. For questions related to grant product submission formats, please contact OCH Program Director Jennifer Allen at (503) 241-0543 ext. 118 or jallen@oregonhum.org.

Please detail the media that you are/will be furnishing to OCH. OCH grant #: _____

Submission #1: _____

Type of Media: Photo Video Audio Written
 Other (please explain): _____

Full Credit to be used by OCH: _____

- Media included/attached
- Media intended for submission on: _____

Submission #2: _____

Type of Media: Photo Video Audio Written
 Other (please explain): _____

Full Credit to be used by OCH: _____

- Media included/attached
- Media intended for submission on: _____

Submission #3: _____

Type of Media: Photo Video Audio Written
 Other (please explain): _____

Full Credit to be used by OCH: _____

- Media included/attached
- Media intended for submission on: _____

By signing this form, I authorize that I have gained permission for OCH to use the media detailed above.

Printed Name/Signature of Project Director

Date