4. Narrative

1. Significance and Impact
We are applying for an Education and Training Grant (Continuing Education) through the Division of Preservation and Access to increase knowledge and skills for the ongoing preservation, access and curation of Indigenous cultural heritage materials. The primary function of the Local Contexts project is to advance respectful and culturally appropriate access to legal information and assist in the development of unique collaborative curation workflows for libraries, museums, and archives that hold collections of Indigenous cultural heritage. Collaborative curation is a collections management workflow that allows both Native and non-Native practitioners to be meaningfully involved in the processes of acquisition, arrangement, description, and display (See Appendix D: Collaborative Curation Workflow). This grant would allow the Local Contexts team to build out a specialized ‘Intellectual Property, Rights and Native American Collections’ curriculum that provides specialized training on: IP and Digitization for Native American collections; advanced training in the collaborative preservation and curation digital tools that we have developed – the TK Labels and Mukurtu CMS; and technical training in developing collaborative curation workflows that can accommodate IP and Indigenous cultural rights. This initiative extends our previous NEH Research and Development grant (PR 234372-16, 2015-2018) and our Arcadia Foundation grant with the Library of Congress, both of which provided specific education and emphasized the creation of workflows for Native institutions in relation to the creation, customization and implementation of TK Labels across diverse sets of digital materials. The professional education and training offered by the Local Contexts team is a unique initiative in that we will work directly with a consortium of national institutions committed to alternative approaches for the preservation and management of Indigenous collections. An expanded team of experts with experience in curation, collections management and Indigenous methodologies of collaboration allows us to provide educational resources that prepare institutions for the future care and stewardship of valuable Indigenous cultural heritage in collaboration with the communities and community organizations who maintain cultural authority over these collections.

Local Contexts is an online platform that was developed in 2010 by Jane Anderson (PI) and Kimberly Christen (Director of Mukurtu CMS and Director of the Center for Digital Scholarship and Curation at Washington State University). Local Contexts aims to demystify and make the legal and ethical regimes that affect access to and use of Native/First Nations cultural heritage collections clearer to Indigenous communities and cultural institutions. It also delivers a key digital curation tool, the TK (Traditional Knowledge) Labels. The labels are a strategic intervention into how Indigenous collections can be better shared through non-legal, educational mechanisms. As adaptable, community-driven tools for adding new knowledge into the public historical record, the TK Labels also support the development of new workflows around vetting the rights and protocols for Indigenous content. Over the last five years the Local Contexts team has worked one-on-one with cultural institutions and Indigenous communities to identify their unique digital preservation and stewardship needs, define areas of challenge in relation to legal and extra-legal frameworks, create and implement customizable TK Labels, initiate an education and training curriculum for Indigenous communities, and produce reusable workflows for the ongoing management of digital collections. Through this NEH Education and Training (Continuing Education) grant we will extend our platform by developing and delivering specialized education, skill enhancement and technical training that supports the professional development of staff working within national institutions that hold valuable Indigenous collections. Outcomes of this grant include:

• Development of the ‘Intellectual Property, Rights and Native American Collections’ Curriculum;
• Delivery of curriculum to approximately 50-70 staff in 6 national institutions in California, New York, Oklahoma, Alaska, Hawaii and Pennsylvania;
• Assessments and evaluations of the professional education and training;
• Beta-test two new CI (Cultural Institution) Labels with our institutional consortium members;
• Create a new Collaborative Curation Center for online sharing of curriculum modules, resources and video interviews with other institutional professionals as OER resources.
1.1 Collaborative Curation and Stewardship

In March 1890 Jesse Walter Fewkes made 31 wax cylinder ethnographic recordings with members of the Passamaquoddy community in Calais Maine. These were the first recordings of Native America ever made. In 1890, the legal protections that were in place for sound recordings were minimal; sound recordings were treated as property proper, which gave Jesse Fewkes exclusive property over these, in perpetuity. When sound recordings came under federal copyright protection in a special amendment in 1971, these first recordings were also brought into federal jurisdiction and are now protected by copyright until 2067, when they will then enter the public domain. Because they are not the ones who physically made the recordings, the Passamaquoddy community has no legal rights to any of these materials, even though they contain Passamaquoddy songs and stories sung by Passamaquoddy people, that only the Passamaquoddy can understand and interpret in culturally and linguistically significant ways.

In 1970 these cylinders were transferred from Peabody Museum of Ethnology and Archaeology at Harvard University to the American Folklife Center (AFC) at the Library of Congress through the Federal Cylinder Project. In 1980 these recordings were returned for the first time to the Passamaquoddy community on reel-to-reel tapes. Because of the poor quality of the sound, only 4 cylinders could be identified and translated. In 2015, the Library’s National Audiovisual Conservation Center (NAVCC) included these cylinders in their digital preservation program for American and Native American heritage. Using up-to-date technology, notably the Archéophone cylinder playback machine (invented in 1998 in France by Henri Chamoux), sound engineers were able to extract the content directly from audio cylinders to digital preservation master files. The digital files were then restored and enhanced, using the Computer Enhanced Digital Audio Restoration System - CEDAR. At the same time as this preservation work was initiated, the AFC, Local Contexts and the Passamaquoddy Tribe joined together for the Ancestral Voices Project funded by the Arcadia Foundation. This project involved working with Passamaquoddy Elders and language speakers to listen, translate and retitle the recordings; explaining and updating institutional knowledge about the legal and cultural rights in these recordings; adding missing and incomplete information and metadata; fixing mistakes in the Federal Cylinder Project record and implementing three Passamaquoddy TK Labels. These add additional cultural information to the rights field of the digital record and provide ongoing support for how these recordings will circulate into the future. (See: https://loc.gov/item/2015655578)

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In April 2018, the first Library of Congress online record with this updated and new metadata for one of the cylinders was publicly released. This new record includes the Passamaquoddy TK Labels, the Passamaquoddy names of the songs included in the catalogue record, enhanced traditional knowledge about the songs and a direct pointing of the authority over these songs back to the Passamaquoddy community who have developed their own Mukurtu CMS instance to share these recordings as well as a range of other cultural

1 https://www.loc.gov/collections/ancestral-voices/about-this-collection/
heritage (http://passamaquoddypeople.com/). This preservation and access project is one example of a new movement where institutional knowledge about the legal and cultural issues affecting Indigenous collections directly impacts decisions made around digitization and access wherein a descendent community is directly engaged. Education and training that the Local Contexts team delivered to the American Folklore Center led to the development of this new preservation and digitization process which importantly, allowed for a radical update of the historical record for these recordings.

Native American cultural heritage collections are unique in composition, content, in their social and cultural value to the communities from where they derive and to non-Native publics seeking to better understand the complexity of Native cultures and cultural practices. In a post-NAGPRA institutional landscape, the lack of legal rights for Indigenous communities over cultural heritage that was documented by non-Indigenous others, and that is now located within cultural institutions nationally, has produced significant challenges for institutions. This is in regard to ethical decision-making around preservation and digitization; for providing culturally appropriate access; and for respectful engagement and trust building between communities and institutions.

One of the most consistently problematic areas for collecting institutions is in the negotiation with communities over the legal, ethical, and cultural rights to these collections as this affects preservation and access decisions: who owns them, who controls them and who should access them now and into the future? Unlike other collections, Indigenous cultural heritage is caught-up in various legal regimes of protection that are difficult to understand and untangle, even for the most seasoned legal counsel. But this is no longer just a registrar problem. In their increasing movement into digital formats, the new rights that are generated only compound the problems for collection managers, for curators and for other staff with responsibilities to respond to Native concerns about ownership and circulation of materials. These legal entanglements can impede access and use and make already difficult negotiations with communities and other rights holders even harder.

These issues around IP and Indigenous collections are also pervasive within an international context. In 2010 after 3 years of research and institutional peer review, the World Intellectual Property Organization published Safeguarding Cultural Heritage and Protecting Traditional Cultural Expressions: The Management of Intellectual Property Issues and Options – A Compendium for Museums, Archives and Libraries. Made available in the six official UN languages this Compendium has reached an audience of over 5,000. (See attached letter from the World Intellectual Property Organization in Appendix K: Letters of Support). Jane Anderson (PI) was the co-author of this Compendium.

1.2 Identifying an Education and Training Gap

Local Contexts was developed as a unique educational online platform where communities and institutions alike can access resources and information about legal and extra-legal solutions as they apply to their collections. By delivering workshops over the last four years with institutions including the Library of Congress, the Field Museum, the Peabody Museum of Ethnology and Archaeology at Harvard University, the Abbe Museum, New York University Libraries, Yale Indian Papers Project and the University of Maine, we have identified an urgent need for more specialized educational and training services that assist library, archive, and museum professionals increase their understanding about Indigenous collections especially around: 1) intellectual property issues, 2) digitization in relation to cultural needs, 3) enhancing skills with regard to culturally appropriate preservation strategies, 4) building collaborative curation workflows.

Local Contexts is part of a network of online platforms developed to support increased information and skills that can assist institutions and Indigenous communities in their engagement in and preservation of their collections. Other platforms include the Reciprocal Research Network (https://www.rrncommunity.org/), Design for Diversity (https://dsg.neu.edu/research/design-for-diversity/, InDigital Storytelling (https://www.indigital.net.au/), Global Voices (https://globalvoices.org/), and Indigitization (http://www.indigitization.ca/). For institutions that are committed to new paradigms of access and preservation and that are engaging Indigenous cultural authority over cultural heritage collections, there are significant cataloguing, classification and curation challenges to address. These challenges extend beyond reassembling existing and/or creating new policy. They require engaging with advanced professional education and training for staff at multiple institutional levels about intellectual property as it relates to
Indigenous collections, their management, preservation, and digital access and how increased access can be supported by using new specialized tools that include Indigenous voice and reposition Indigenous authority. Library and Information Studies programs across the country now address issues of intellectual property education, especially around Creative Commons licensing and managing rights fields and associated metadata in contexts of digitization. However, they do not provide substantive education or training on what differences arise in the legal management, preservation, and access of Indigenous collections. For Indigenous collections, these issues of legal rights, preservation, and access are tied together in intricate ways. As the above example from the Library of Congress illustrates, it was concern for preservation of the cylinders themselves that led to their digitization, which initiated the immediate need to engage respectfully with the Passamaquoddy community. As a result of the collaboration, from different sectors of the library with the Passamaquoddy community and facilitated by the Local Contexts team, the historical record was immeasurably expanded, and the TK Labels were utilized as a specific tool to rearrange rights and authority for this material so that Passamaquoddy community cultural authority was recognized at a core level. The new record provides the public, scholars, as well as other community members with a nuanced and culturally relevant record from which to glean social, cultural, linguistic and historic information about Passamaquoddy and early American history. (See: https://loc.gov/item/2015655578)

Below we identify four related areas where education and digital skill setting for institutions has been developed and advanced in response to changing needs around law and Indigenous issues around research and collections. The Local Contexts initiative both compliments and extends them. We anticipate that the specialized training we deliver through this grant could be adopted by all the below projects, enhancing reach and expanding engagement. We also anticipate that in the longer term, our education and training curriculum will be modified and expanded for future adoption into Library and Information Studies programs.

1.2.1 NAGPRA Education and Training
The inception of the Native American Graves Protection and Repatriation Act (NAGPRA) in 1990 produced a federally mandated need for institutions to radically increase their education about how this new federal law applied within their own institutional context. This was developed as each federal institution came to terms with the details of the law, as well as its ‘spirit’ – what institutions and communities collectively hoped the law could achieve. Radical changes in the preservation and access of NAGPRA collections subsequently occurred. New education around inventorying collections, reading between the lines of collection provenance documentation, removing items from display and changing preservation strategies for NAGPRA identified material, has changed institutional workflows. Currently, the dominant education and training in NAGPRA is provided by the National Parks Services. In addition to NPS, the National Preservation Institution runs more advanced regional workshops for professionals within institutions around different NAGPRA topics. Library and Information Studies Programs also offer specific courses in NAGPRA. Indiana University, through National Science Foundation (NSF) funding is also developing new resources and training for learning about NAGPRA for a variety of graduate and institutional professionals.

1.2.2 Creative Commons Certificate
In 2017, Creative Commons began offering their own Certificate Program teaching library, museum and archive professionals about creative commons licensing, the ethos of sharing and practices that support openness within the commons. The CC Certificate supports professionals within a variety of industries, but specifically within cultural institutions, to better advise institutions on creating and engaging with openly licensed works. Within the CC Certificate, professionals learn how to adapt and innovate on existing openly licensed materials–keeping institutional knowledge bases relevant and up to date. The Certificate provides the skills needed to meet open licensing requirements increasingly present in government and foundation grants and contracts. This CC Certificate fills a gap around specialized rights management for institutions, which supports ongoing access to collections.

1.2.3 Sustainable Heritage Network
The Sustainable Heritage Network (SHN) is funded in part by the Institute of Museum and Library Services (IMLS) and is based at Washington State University. The SHN provides educational materials that support the lifecycle of cultural materials by providing online resources, face-to-face training and a community network to communicate and learn about digital stewardship and preservation. Aimed specifically at the needs of tribal archivists, librarians, and museum specialists, the SHN is organized as a collaborative network. The
SHN online platform brings together communities, institutions, and professionals to support each other by sharing knowledge, educational resources, and technology necessary for the responsible digitization and preservation of cultural heritage. Education around intellectual property, and how this affects the digitization and preservation of Indigenous collections, is one module in this extensive training. Local Contexts currently provides this education and training through workshops, online interviews and webinars.

1.2.4 Digital Native American and Indigenous Studies Project (dNAIS)
The dNAIS project funded by NEH, offers workshops that educate participants on issues of digital humanities research and methodology in the context of Native American Studies. Appealing to graduate students, academics, tribal community members as well as library professionals, these workshops explore how NAIS as an interdisciplinary field intersects with a number of issues related to access, preservation, and methodology that are problematized through the development and deployment of digital tools, methods and in conducting digital research.

1.3 Why Local Contexts|Collaborative Curation Education and Training?
The Local Contexts education and training, which includes the ‘Intellectual Property, Rights and Native American Collections’ curriculum (see below) fills a gap in the current education available for professionals working in preservation and access of Indigenous collections. It compliments and extends the above educational initiatives in five ways:

• Centers intellectual property and associated cultural rights in the digital realm within Indigenous collections as the educational pivot;
• Provides advanced skill enhancement in digital curation tools Mukurtu CMS and the TK Labels;
• Extends education into technical training through the development of alternative institutional preservation and access workflows;
• Offers on-site institutional workshops that allow for unique institutional ‘case studies’ to be incorporated within the curriculum, as well as a broader range of institutional participants to receive this education;
• Supports a ‘whole of institution’ approach to community engagement and collaboration in the preservation and access of valuable Native American heritage.

When NAGPRA was established, intellectual property issues for Indigenous collections were in their infancy. Institutions were busy changing processes and increasing staff education around the law itself, and there were only limited instances where IP law was relevant. Initially institutions were dealing with physical collections and were largely establishing radical changes in the politics of Indigenous/institutional engagement. The problems of IP only became more evident in the last eight years, where photographs, recordings and field-notes documenting burials, burial objects and other items of cultural patrimony came into the purview of NAGPRA. For Creative Commons, the issues of Indigenous rights and traditional knowledge are very recent. This is partly because Indigenous concerns challenge foundational concepts of what is considered to be a ‘commons’, and this critique has been difficult to hear. As a result of increased engagement by Indigenous peoples with the CC movement, there is a shift occurring – to the extent the Local Contexts team has recently been invited by Creative Commons to create a specific module on ‘Traditional Knowledge Issues’ for the new Creative Commons Certificate. (See also the letter of support from Creative Commons General Counsel and Corporate Secretary Diane Peters in Appendix K: Letters of Support and Commitment). The SHN offers a variety of resources around digital preservation and access to Indigenous collections, including direct technical training in digitization and preservation methods for tribal archivist and librarians. The key audience for the SHN is tribal archivists, librarians and museum professionals. DNAIS delivers their workshops to a broad audience including graduate students, academics and librarians. Their education modules include introductions to IP as well as to Mukurtu CMS. The dNAIS project uses required readings written by Jane Anderson (PI) for their IP module.

1.3.1 The Intellectual Property, Rights and Native American Collections Curriculum
Our proposed education and training initiative for professionals within cultural institutions is dedicated to bridging past practices and finding ways for new reciprocal and collaborative relationships that address a collection in its totality, including its past, present and future legal and cultural status. Our audience for this education and training includes a wide range of institutional staff including: directors of cultural resources,
collection managers, curators, registrars, cultural resource managers, collection database managers, museum technicians and collections research staff. In our Intellectual Property, Rights and Native American Collections Curriculum we offer 4 specific modules:

1. Intellectual property, digitization and Native American collections
   In this module, knowledge about IP and Native American collections in the digital realm is the key focus. This knowledge forms a core educational need for librarians, archivists, curators, collection managers and other institutional staff because it affects all decision-making around preserving, digitizing and accessing Indigenous collections. The Local Contexts curriculum uses case studies, practical worksheets and templates to help organize IP information, and we use ‘problem scenario’ as our preferred form of assessment for this module.

2. Advanced Mukurtu CMS Training
   Advanced Mukurtu CMS training focuses specifically on skill enhancement. Modules for Mukurtu CMS are hands on where participants learn how to use the tools to interface and enhance community/institution engagement, which directly supports collaborative preservation and access to these collections.

3. Advanced TK Label Training and Implementation
   Advanced TK Label implementation also focuses on skill enhancement. In this module, staff are introduced to the TK Labels, how they are adapted and developed collaboratively with communities, how they are implemented through the TK Label Hub on Local Contexts and how to identify different institutional departments that need to be involved in TK Label implementation.

4. Collaborative Curation Workflow Development
   Our final training module moves from direct education (IP and Native American Collections), skill enhancement (Mukurtu CMS and TK Labels) to technical workflow development – how the institution builds a ‘whole of institution’ approach to collaborative curation. This module is focused on answering the pervasive practical questions that consistently arise in the workshops we already conduct: ‘what next and how’? In this specific module we work with participants who are all from the same institution, to develop unique institution-wide strategies.

These modules will be delivered in three-day workshops with each partner institution. Each institution will define their workshop content by choosing 3 of the modules from our curriculum. We will then tailor these to each institution’s needs and collections using pre-workshop surveys and assessments. (Further detail on the learning outcomes anticipated through this curriculum is below, as well as in Appendix E: Sample Curriculum). The impetus for the development of this curriculum is to advance available training and inform the next generation of professionals so that they have the knowledge in key tools and have acquired an appropriate level of training to acknowledge and respectfully work with Indigenous communities to ensure equity and collaboration in the preservation and sharing of our immense American and Native American heritage.

2. Specific Benefits
   The specific education and digital skill setting benefits that will accrue from this proposal include:
   Education

   • Training of approximately 50-70 humanities collections professionals in Collaborative Curation through the Intellectual Property, Rights and Native American Collections curriculum;
   • Demystification of the intellectual property issues embedded within Indigenous collections;
   • Teaching collections professionals to make more informed legal and ethical decisions around the digitization and circulation of Indigenous collections;
   • Empowering institutional staff to work with difficult Indigenous collections where provenance or ownership may be unclear;
   • Expanding conservators understanding of Indigenous concerns around caring for and providing access to collections;
   • Curators will benefit by having more accurate records and relationships of trust with communities increasing the strength and power of collaboratively developed displays and online exhibitions;
• Collections managers will benefit by having enhanced understanding of their specialized work with Indigenous communities recognized across other areas of the institution;
• Institution building that is focused on the preservation and access of Native American cultural heritage;
• Building institutional capacity for sustainable collaborations between institutions and Indigenous peoples;
• Increased trust and relationship building between institutions and Indigenous communities;
• Creating new ways to publicly display Indigenous collections with Indigenous collaboration.

**Digital Skill Setting**

• Advanced training in the collaborative curation model through the Mukurtu CMS platform to support culturally relevant access to collections, and provide mechanisms for parallel metadata within an institutional context;
• Advanced training in the TK Labels will assist professionals in developing new curation methods that bring community perspectives and authority into the institutional record;
• Increased training in digital preservation of Indigenous collections with Indigenous community support and participation;
• Expanded metadata and increased information and accuracy in the institutional record;
• Production of workflow models for implementation of institutional collaborative curation;
• Beta-testing of the two new CI (Cultural Institution) Labels.

3. Introducing the Local Contexts Consortium of Museums, Libraries and Archives

For the purposes of this grant, we have established a Collaborative Curation Consortium of six national institutions who will all receive education and training through our specialized curriculum. We expect the reach of this education and training within each institutional context to range from 5-20 institution professionals. In total, from this grant we expect to offer the curriculum through its associated modules, to approximately 50-70 staff ranging from directors of cultural resources, collection managers, curators, registrars, cultural resource managers, collection database managers, museum technicians and collections research staff. The participating institutions include:

1. Sam Noble Museum of Natural History, Oklahoma,
2. San Diego Museum of Man, California,
3. American Philosophical Society, Pennsylvania,
4. University of Hawaii Libraries and the Native Hawaiian organization Nā Hawai‘i 'Imi Loa, Hawaii,
5. New York State Museum, New York,

We will convene a consortium workshop at NYU in the first three months of the grant with two representatives from each institution. This will allow us to create an initial consortium network, and to work closely with each institution to refine the education modules and training goals for each workshop so that they are directly relevant and consistent with each institution’s current practice. For instance, each institution has unique collections as well as systems of digital infrastructure. Some institutions understand the complicated legal and cultural landscape of ownership and authority over Native collections, and others need assistance in developing institution-wide understanding of why Indigenous collections present special types of legal, cultural and ethical concerns in this area. The Local Contexts team will customize the training we deliver so that it directly supports each institution’s unique goals and commitments to the ethical and responsible stewardship of Indigenous collections. The training is also designed to enhance more respectful and culturally appropriate relationships with communities in the production, management and preservation of these collections. (See the letters from our consortium in Appendix J: Letters of Commitment from our Consortium). The consortium of cultural institutions were selected for the following reasons:

• Commitment to building alternative models for the preservation and access of Indigenous cultural heritage;
• Demonstrated leadership in management of Indigenous cultural heritage within the museological sector;
• Innovation in strategies for digital return of Indigenous collections;
• Diversity in Indigenous collections;
• The cultural value of collections within the institution to Indigenous communities;
• Potential for outreach and extension of new workflow models into other internal and external institutional contexts, including into research contexts;
• Unique position as a library, museum and/or archive to adapt, implement and extend models and workflows for reciprocal curation and stewardship from specialized training.

In addition, we anticipate the impact from this training to filter in multi-directional ways, including to other local archives or libraries, community organizations, researchers through the staff at the six Consortium institutions and more broadly through our online delivery of the curricular materials. All of the materials we deliver in person will be repackaged for online delivery through the new Collaborative Curation Center on Local Contexts as well as through the Sustainable Heritage Network (SHN). All the educational resources will be made freely available as Open Educational Resources (OER). Delivery in this manner will allow reuse by other institutions as well as in Library schools and smaller workshops delivered by our partners. We will create an outreach campaign through our diverse networks that promotes this curriculum and the changes experienced within our consortium institutions and hold a public symposium at the end of this grant at NYU.

4. Project History: Mukurtu CMS and the TK Labels

4.1 Mukurtu CMS

Since the mid 1990s, museums, archives, and libraries worldwide have recognized the need to include Indigenous communities in their outreach activities and curation process. Mukurtu CMS provides a practical solution to Indigenous cultural heritage management needs that were not addressed in commercial products. For instance, Mukurtu provides flexible cultural protocol-based item level content management, expanded metadata fields to include traditional knowledge narratives and text, expanded and customizable categories and subject headings that account for local taxonomies, and customizable licensing and labeling schema for content at the item and collection level. Funded by the NEH Office of Digital Humanities, the Institute of Museum and Library Services, and the Andrew Mellon Foundation, Mukurtu CMS is now at a 2.0.9 release with a global community of users that are highlighting the diversity of collections management and the recirculation of Native/First Nations collections.

The Plateau Peoples’ Web Portal is built on the Mukurtu CMS platform and was, in fact, the beta version of Mukurtu. The Portal is a collaboratively curated site where six tribes in the inland Northwest along with Washington State University (WSU) and national partners at the Smithsonian Institution collaboratively curate and reciprocally manage Plateau collections. In the Portal, tribal members enter ‘tribal knowledge’ and ‘cultural narratives’ alongside the standard Dublin Core metadata from the collecting institutions. For example, whereas the catalog record from the WSU McWhorter Collection from 1911 is titled ‘Three Yakama Women’ and the metadata associated with the image gives no information about the place, the women, the customs, etc., the added metadata from Jolena Tillequots and Vivain Adams, two Yakama tribal members and advisors on the project, provides the location of the women, a rich description of their Native dress, their ceremonial ties, their oral history traditions, and a list of their likely family connections. This added tribal knowledge touches on the main audiences for the Portal: tribal nations, scholars and the general public. Not only is this enhanced record beneficial for tribal members, but also for scholars and the public who may never be able to speak to anyone on the Yakama reservation, now have access to first-hand knowledge about ceremonial use of regalia, everyday contact, oral histories and the deep family connections still alive. As Mukurtu allows for parallel metadata, there is remarkable opportunity to enhance the historical record by allowing for multiple experiences to be shared.

From the outset of Mukurtu’s development and its further expansion and iteration through the Plateau Peoples’ Web Portal, there was recognition of the problematic relationship of access and control that Indigenous communities have to their cultural heritage. In 2012, Local Contexts, as its own discrete initiative with Jane Anderson and Kim Christen as its co-Directors was born (for further information about funding
see 7. History of Grants). In Local Contexts we focused more closely on intellectual property and associated cultural rights embedded within collections and developed the TK Labels.

4.2 The TK Labels

The Local Contexts initiative has two objectives. Firstly, to enhance and legitimize locally based decision-making and Indigenous governance frameworks for determining ownership, access, and culturally appropriate conditions for sharing historical and contemporary collections of cultural heritage. Secondly, to promote a new classificatory, curatorial, and display paradigm and workflow for museums, libraries, and archives that hold extensive Native/First Nations collections. By elevating the visibility of erased or marginalized voices from collection and exhibition practice, the Local Contexts initiative works to significantly impact how Indigenous perspectives about the management of these ethnographic collections are defined and incorporated into contemporary practice. By adding missing information and facilitating new collaborative and reciprocal relationships between Indigenous communities and cultural institutions, this project increases knowledge about how ethnographic collections should be accessed, shared, governed, circulated, used and curated within institutions and by other non-Indigenous users of this cultural content.

With the bulk of Indigenous cultural heritage material either legally owned by non-Indigenous peoples through copyright law, or existing in the public domain, the Local Contexts project team made an early decision to focus on the development of a set of TK Labels as a way to provide an educational and social “mark” on this large body of content. The TK Labels provide a flexible option for conveying important information about cultural heritage materials – their proper use, guidelines for action, or responsible stewardship and re-use. The TK Labels can be used in libraries, museums, and archives (see for instance the Library of Congress example at the beginning of this Narrative) and within tribal institutions and online projects to extend already existing catalog records, provide additional context, and define responsible re-use of the materials. The TK Labels can be used to include information that might be considered ‘missing’ (for instance the name of community from where it derives), what conditions of use are deemed appropriate (for instance if the material has gendered or initiate restrictions associated with it), whether correct protocols for vetting materials have been followed (for instance many tribes now have tribal policies and agreements for conducting research on tribal lands), and importantly, how to contact the relevant family, clan or community to arrange appropriate permissions.

There are currently 17 TK Labels that have been developed through collaboration and engagement with Indigenous communities in the US, Canada, and Australia (See Appendix F: The TK Labels). Each of the TK Labels has a unique icon and accompanying explanation. In all local contexts where the TK Labels are being used, the icon remains the same, but the text can be customized to reflect local values and definitions. Keeping the icons stable produces a visual form of standardization for institutions (much like Creative Commons license icons are now easily recognizable).

The TK Labels enhance the possibilities for user-public understanding and engagement with current Indigenous communities and collections of cultural heritage. One of the primary advantages of labeling is in the way it empowers Indigenous communities to include important access information about cultural heritage and this also provides more information to the public record. The TK Labels open a space for a different dialogue with collecting institutions about access and the extra-legal and cultural forms of ownership and authority that have been haunting these collections. Importantly, the Labels are also a vehicle for providing a new set of procedural workflows that emphasize vetting content, collaborative curation, ethical management and outreach practices. The TK Labels and Mukurtu CMS are key tools within our model of collaborative curation and stewardship that change relationships between institutions and communities because they foreground consideration of the historical exclusion of Indigenous publics, reconsideration of the authority and ownership of collections themselves and the urgent need for change. Our commitment moves in two directions – supporting institutions as well as supporting Native American communities. This NEH grant is directed towards institutions. As a compliment to this NEH grant, Local Contexts has also just submitted an IMLS grant in partnership with the Penobscot Nation. If successful, the Penobscot Nation with the Local Contexts team will deliver intensive intellectual property, tribal governance and decision-making training and education to 12 Native American communities over the next two years. Both of these potential grants have the same objective: enhancing both community and institutional capacity through education and training for sustainable engagement and collaboration around Native American heritage preservation and access.
5. Learning Outcomes, Delivery and Work plan
The goal of this project is to provide specialized professional education to library, museum and archive professionals within six specific institutions through three-day training workshops over a two-year period. The current three-day education and training workshops use a combination of lectures, demonstrations, case studies, group work and hands on participation. Prior to the start of the programmed education and training, each institutional visit will begin with a ‘brown-bag’ lunch talk that is open to the staff and public. This allows us to reach a broader audience within the institution and provide a general introduction about collaborative curation to between 60-100 interested additional staff. The training sessions themselves will be delivered by two-three instructors for 5-20 participants. The current educational modules within our curriculum are broken into two, 3-hour sessions per day. The four specific modules collectively provide for the delivery of direct education, skill enhancement, and technical training to support ethical and collaborative methods for preservation and access of Indigenous collections. Learning outcomes for each of these modules include:

1. Intellectual Property, Digitization and Native American Collections
   - Clear identification of what the issues for Native American and Indigenous collections of cultural heritage actually are;
   - Clarification on how copyright law fails to meet Indigenous expectations around the future management of these collections;
   - Understanding of why digital preservation of these collections can produce tensions across stakeholder groups;
   - Identification of notices, labels and risk-management strategies that can be put in place to support institutional intentions to collaborate;
   - Increased capacity to initiate conversation about these issues with community members when they visit collections.

2. Advanced Mukurtu CMS Training
   - Understanding of the history of the development of Mukurtu CMS;
   - Capacity to utilize Mukurtu CMS;
   - Clear knowledge about how it can interface with an institutional CMS;
   - Understanding of how Mukurtu’s core features promote ethical and collaborative sharing;
   - How to import a community record and create parallel metadata fields for additional community information;
   - How to incorporate Indigenous produced categories and classifications of Indigenous collections into an institutional context.

3. Advanced TK Labels Training and Implementation
   - Understanding of the history of the TK Labels and how they interface with IP law;
   - Clear knowledge of examples of community and institutional use;
   - Enhanced capacity for implementation of the TK Labels within an institutional CMS;
   - Capacity to begin negotiating the display of TK Labels in records, online catalogues, internal databases and finding aids;
   - Increased knowledge in how an institution uses the TK Label Hub including versioning and service requests;
   - Beta-test the 2 new CI (Cultural Institution) Labels including where these could be placed in catalogue records, how they work with rights statements developed by rightsstatements.org; and the development of aggregation strategies so that institutions can more easily locate their Indigenous collections.

Our final module on technical workflow development will be created specifically with each institution as we identify where the workflow need is.

In addition to the direct education and training we will continue to provide training materials as OERs on the Local Contexts platform and the SHN. The continued development of these resources, including case studies, problem scenarios and interviews with library, museum and archival professionals who are engaged in this training, will extend the benefits from this training to other professionals working with
Indigenous collections internationally. We also plan on making institutional workflows that are developed in the course of this training available when appropriate. Upon the completion of a workshop, evaluations and follow-up discussions will occur online and through conference calls allowing the Local Contexts team to reflect and reformulate the workshops in ways that mean that they are in constant review.

5.1 Work Plan

Phase I: Collaboration and Consortium Building. Milestones: Planning, Education and Training

*Activities, Outcomes: January-April 2019*

- Project Planning: refine project roadmap, establish timeframe for workshops;
- Hold initial consortium workshop at NYU (March);
- Work with the consortium members to identify training participants, schedule training sessions and brown-bag public talks;
- Preparation, revising and tailoring of education and training curriculum/modules;
- Create additional training materials, worksheets, case studies for each training;
- Send modules to advisory board and consultants for input;
- Send agenda of training including required reading to first institution participants three weeks before training;
- Identification of framework for new Collaborative Curation Center on Local Contexts.

*Participants: All staff.*

Phase II: Advanced Development and Training 1. Milestones: Intensive Training Workshops

*Activities, Outcomes: April-November 2019*

- Delivery of intensive three-day training workshops delivered to first three institutions (April, June, October);
- Agile curriculum development and refining post workshops;
- Workflow Build: Following the workshops support development of each institutional workflow;
- Conduct interviews with Consortium members for Collaborative Curation Center;

*Participants: All staff including consultants.*


*Activities, Outcomes: November 2019-February 2020*

- Post-Workshop Follow up and Evaluations;
- Finalizing three institutional specific collaborative curation workflows;
- Workshop Planning: Refining current workshops and prepare for next three;
- Preparation, revising and tailoring of education and training curriculum/modules;
- Create additional training materials, worksheets, case studies for each training;
- Send modules to advisory board and consultants for input;
- Send agenda of training including required reading to institution participants three weeks before training;

*Participants: All staff.*


*Activities, Outcomes, Participants: March-September 2020*

- Delivery of intensive three-day workshops to final three institutions (April, June, October);
- Agile curriculum development and refining post workshops;
- Workflow Build: Following the workshops advance each institutional workflow;
- Conduct interviews with Consortium members for Collaborative Curation Center;

*Participants: All staff including consultants.*


*Activities, Outcomes: October-December 2020*

- Post-Workshop Follow up and Evaluations;
- Finalize all institutional specific collaborative curation workflows;
• Local Contexts symposium at NYU (funding will be requested if grant is successful);
• Public release of the Collaborative Curation Center on the Local Contexts site;
• OERs added to Sustainable Heritage Network and Local Contexts sites;
Participants: All staff including consultants

6. Evaluation
For each of our modules within our Intellectual Property, Rights and Native American Collections curriculum we have developed specific forms of assessment. These help participants in the workshops gage their own development and understanding in this field. We use two kinds of assessment – ‘problem solution’ and ‘self-assessment’. For more details of curriculum assessment see Appendix C: Assessment and Evaluation.

In our previous phases of work, we have recognized the importance of both front-end and formative modes of evaluation and feedback. For instance, in all of our education and training workshops that we have run we use pre-workshop and post-workshop evaluations to help us understand how we have met participant’s expectations and where we need to refine our education and training. Our evaluation plans for this project will continue and extend these already existing types of evaluation. In particular we will include: formal surveys, roundtable discussions and advisory board meetings. For Project Evaluation see Appendix C: Assessment and Evaluation.

7. Project Staff and Consultants
Both Anderson (PI) and Christen have been conducting specialized training and education for professionals in this area for over 10 years. This includes within institutional contexts, with Indigenous communities as well as through professional gatherings such as conferences and workshops.

Jane Anderson, PhD. Associate Professor, Department of Anthropology and Program in Museum Studies at New York University and co-Director of Local Contexts (Principal Investigator). In this project she will co-ordinate the Local Contexts educational and training output and facilitate outreach to consortium institution participants; conduct all the educational presentations and training workshops; develop the training modules and create and assemble the digital resources for the Collaborative Curation Center on Local Contexts.

Kimberly Christen, PhD. Professor, Director, Center for Digital Scholarship and Curation, Washington State University and co-Director of Local Contexts. Dr. Christen is the Director of the Plateau Peoples’ Web Portal, and Director of Mukuru CMS. In this project she will co-ordinate the Local Contexts technical team; facilitate and co-produce institutional collaborative curation workflows; and, conduct the institutional training on Mukuru CMS.

Consultants
Our consultants bring unique curatorial, collections management and collaborative engagement skills to our Local Contexts team. With experience working in leading cultural institutions in the US on display, management and inventorying NAGPRA collections, our consultants all bring Native and First Nations perspectives into our proposed preservation and access training and education.

Sonya Atalay, PhD (Anishinabe) Associate Professor, Department of Anthropology, University of Massachusetts, Amherst. Atalay will contribute to the development of the training modules for collaborative curation for our consortium institutions and participate in this training for two institutions.

Amy Lonetree, PhD. (Ho-Chunk) Associate Professor, Department of History, University of California, Santa Cruz. Lonetree will contribute to the development of the training modules for collaborative curation for our consortium institutions and participate in this training for two institutions.

Jordan Wilson, MA. (Musqueum) Curator and PhD Student, New York University. Wilson will contribute to the development of the training modules for collaborative curation for our consortium institutions and participate in this training for two institutions.
## Budget Form

### Applicant Institution: New York University

**Project Director:** Jane Anderson  
**Project Grant Period:** 01/01/19 - 12/31/20

### 1. Salaries & Wages

<table>
<thead>
<tr>
<th>Name</th>
<th>Notes</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Project Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Director (Jane Anderson)</td>
<td>1 summer month salary</td>
<td>0%</td>
<td>5%</td>
<td>5%</td>
</tr>
<tr>
<td>Project Director (Jane Anderson)</td>
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<td>11.25%</td>
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<tr>
<td>Graduate Training Assistant</td>
<td>3 hr for 10 hours per week</td>
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### 2. Fringe Benefits

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<th>Notes</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Project Total</th>
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<tr>
<td>30.5%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

### 3. Consultant Fees

- Kim Christen
- Sonya Atalay
- Amy Lonetree
- Jordan Wilson

### 4. Travel

- **Consortium Members Travel to NYC**
  - 3 day trip to NYC for Collaborative Curation Workshop (12 people from each institution: (various - NYC) Air: $3960; accomodation $5,600 | $15,200 | $15,200 |
  - Project Director and staff (3) 4 day trip to University of Hawaii, Hawaii (various-HNL) Air: $2,100; Accom: $2450; Car hire: $1100. | $5,600 | $5,600 |
  - Project Director and staff (3) 3 day trip American Philosophical Society, Pennsylvania. (various-PHL) Air/train: $650, Accom: $567. | $1,217 | $1,217 |
  - Project Director and staff (3) 3 day trip to Sam Noble Museum, Oklahoma. (various-OKC) Air: $1,500; Accom: $1260; Car hire: $700. | $3,460 | $3,460 |
  - Project Director and staff (3) 3 day trip NY State Museum, Albany (various-ALB). Air: $1000; Accom: $1027. | $2,027 | $2,027 |
  - Project Director and staff (3) 4 day trip to University of Alaska, Fairbanks (various-FAI). Air: $2200; Accom: $1650; car hire: $975. | $4,825 | $4,825 |
  - Project Director and staff (3) 4 day trip to San Diego Museum, California (various-SAN). Air: $1300; Accom: $1200; car hire $655. | $3,155 | $3,155 |

### 5. Supplies & Materials

<table>
<thead>
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<th>Notes</th>
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<tbody>
<tr>
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### 6. Services

- TK Label Implementation Support | $15,000 | $15,000 | $30,000 |

### 7. Other Costs

<table>
<thead>
<tr>
<th>Notes</th>
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<th>Year 2</th>
<th>Project Total</th>
</tr>
</thead>
<tbody>
<tr>
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<td>$0</td>
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</tr>
</tbody>
</table>

### 8. Total Direct Costs

- Per Year | $79,365 | $79,365 | $158,730 |

### 9. Total Indirect Costs

- Per Year 20% | $20,634.92 | $20,634.92 | $41,270 |
  - $100,000 | $100,000 |

### 10. Total Project Costs

- (Direct and Indirect costs for entire project) $200,000 | $200,000 |

### 11. Project Funding

- **a. Requested from NEH**  
  - Outright: $200,000  
  - Federal Matching Funds: $0
  - TOTAL REQUESTED FROM NEH: $200,000

- **b. Cost Sharing**  
  - Applicant’s Contributions: $24,015
  - Third-Party Contributions: $0
  - Project Income: $0
  - Other Federal Agencies: $0
  - TOTAL COST SHARING: $24,015

### 12. Total Project Funding

<table>
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<th>Notes</th>
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<td>$224,015</td>
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<td>$224,015</td>
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**Note:**  
Total Project Costs must be equal to Total Project Funding  
Third-Party Contributions must be greater than or equal to Requested Federal Matching Funds  

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Salary and benefits redacted pursuant to FOIA exemption (b)(6). **Budget**
BUDGET JUSTIFICATION – New York University

SENIOR PERSONNEL

PI- Jane Anderson, Ph.D. (0.5 summer month, one course release (11.25% FTE)) will bring her leadership and expertise in directing complex, multi-investigator projects to the goals of Local Contexts, as well as managing the training assistant listed below. She will also be responsible for the design of the workshops, their organization, curriculum development, workshop delivery, assessment and evaluation, co-ordinating the lexicographic activities, and for writing up and disseminating the results of this project. NYU faculty hold 9-month academic appointments.

Training Assistant – (~10 hrs/week for ~36 weeks/year)
A Graduate-level Training Assistant will support the PI through all phases of this project, and will assist in curriculum development, organization of the Collaborative Curation workshops, development of online resources as well as their dissemination and circulation. S/he will also support the PI in coordinating all phases of the project, engaging with consultants and preparing reports and other activities in support of this project.

Base salary rates for all personnel students are projected to increase 3% each year. Fringe benefit rates for all personnel are set at 30.5% of the requested salary.

CONSULTANT FEES

Kim Christen (320 hours @ $50/h for two years of the grant)
Will contribute 160 hours each year to the project. This will include participating and delivering the Mukurtu CMS module and the Collaborative Curation workflow module of the curriculum. Assisting in finalizing the modules, refining them post workshops, participating in postworkshop reviews, repackaging modules and curricula materials for digital dissemination on Local Contexts and SHN and devising outreach and dissemination strategies for their uptake by other education and training initiatives.

Sonya Atalay, (160 hours @ $50/hour for two years of the grant)
Will contribute 80 hours each year to the project. This will include advising and assisting in development of curriculum as well as participating in its delivery at two workshops in the second year of the project. Refining curricula and participating in post-workshop review as well as advising on online curricula distribution.

Amy Lonetree, (160 hours @ $50/hour for two years of the grant)
Will contribute 80 hours each year to the project. This will include advising and assisting in development of curriculum as well as participating in its delivery at one workshop each year of the project. Refining curricula and participating in post-workshop review as well as advising on online curricula distribution.

Jordan Wilson (80 hours @$50/hour for year one of the grant)
Will contribute 80 hours for year one of the grant. This will include advising and assisting in development of curriculum as well as participating in its delivery at one workshop each year of the project. Refining curricula and participating in post-workshop review as well as advising on online curricula distribution.

TRAVEL

Domestic- North America

Consortium Members Travel to NYC for initial Collaborative Curation Workshop
3 day trip to NYC for Collaborative Curation Workshop (12 people from each institution: (various - NYC) Air- $9600; accommodation $5,600

Project Director and staff (3)
4 day trip to University of Hawaii, Hawaii (various-HNL). Air: $2,100; Accommodations $2450; Car hire; $1100.
Project Director and staff (3)

Project Director and staff (3)
3 day trip to Sam Noble Museum, Oklahoma. (various-OKC) Air: $1500; Accommodations: $1260; Car hire: $700.

Project Director and staff (3)
3 day trip NY State Museum, Albany (various-ALB). Air: $1000; Accommodations:$1027.

Project Director and staff (3)
4 day trip to University of Alaska, Fairbanks (various-FAI). Air: $2200; Accommodations: $1650; car hire: $975.

Project Director and staff (3)
4 day trip to San Diego Museum, California (various-SAN). Air: $1300; Accommodations: $1200; car hire $655.

SERVICES
TK Label Implementation Support
Services are for TK Label Implementation and Local Contexts platform support. This is delivered by the Center for Digital Curation and Stewardship at Washington State University. This supports the operation of the TK Label Hub on Local Contexts and TK Label implementation work that will be conducted by the 6 consortium institutions over the course of the grant.

INDIRECT COSTS
Agreed upon Facilities and Administration costs at NYU Washington Square are at the off-campus rate of 26.0% of the Modified Total Direct Costs (MTDC). This rate excludes equipment $3,000 or more, Graduate Student Tuition Remission, Conference/Participant Support and Subcontracts over $25,000. DHHS agreement dated 08/17/2017.
COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN: 1135562308A1
DATE: 08/17/2017
ORGANIZATION:
FILING REF.: The preceding agreement was dated
New York University
New York University was dated
838 Broadway, 5th Floor
01/10/2017
New York, NY 10003-9580

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: INDIRECT COST RATES

<table>
<thead>
<tr>
<th>TYPE</th>
<th>FROM</th>
<th>TO</th>
<th>RATE(%) LOCATION</th>
<th>APPLICABLE TO</th>
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<tbody>
<tr>
<td>PRED.</td>
<td>09/01/2015</td>
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<td>PROV.</td>
<td>09/01/2018</td>
<td>Until Amended</td>
<td></td>
<td>Use same rates and conditions as those cited for fiscal year ending August 31, 2018.</td>
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</tbody>
</table>

*BASE
Modified total direct costs, consisting of all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel and up to the first $25,000 of each subaward (regardless of the period of performance of the subawards under the award). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of $25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.
SECTION I: FRINGE BENEFIT RATES**

<table>
<thead>
<tr>
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<th>RATE (%) LOCATION</th>
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<td>8/31/2017</td>
<td>29.50 All</td>
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<td>FIXED</td>
<td>9/1/2017</td>
<td>8/31/2018</td>
<td>30.00 All</td>
<td>All Employees</td>
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<tr>
<td>PROVID</td>
<td>9/1/2018</td>
<td>Until amended</td>
<td>30.00 All</td>
<td>All Employees</td>
</tr>
</tbody>
</table>

** DESCRIPTION OF FRINGE BENEFITS RATE BASE:
Salaries and wages.
SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

The fringe benefits are charged using the rate(s) listed in the Fringe Benefits Section of this Agreement. The fringe benefits included in the rate(s) are listed below.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

OFF-CAMPUS DEFINITION: For all activities performed in facilities not owned by the institution and to which rent is directly allocated to the project(s) the off-campus rate will apply. Grants or contracts will not be subject to more than one F&A cost rate. If more than 50% of a project is performed off-campus, the off-campus rate will apply to the entire project.

(1) The fringe benefit costs listed below are reimbursed through the fringe benefit rate: Annuity, Group Insurance, Major Medical, Hospitalization, FICA, Workmen's Compensation, Dental Plan, Pensions, Unemployment Insurance, NYS Disability Insurance, Tuition Remission (Employee only), Travel Insurance and Disability Income Protection.

(2) Equipment means an article of nonexpendable, tangible personal property having a useful life of more than one year, and an acquisition cost of $3,000 or more per unit.

(3) The NYU Tandon School of Engineering (formerly, Polytechnic Institute) was legally integrated with New York University as of January 1, 2014. Their Predetermined All Programs indirect costs rates will be 38.5% and 20%, for on-campus and off-campus respectively, from 9/1/2015 through 8/31/2018. These will also serve as their Provisional rates from 9/1/2018 until amended. The Tandon School and New York University may at times perform work on the same awards. The approved indirect cost rates for each entity, can be applied to these awards based upon the effort performed at each site.

(4) New York University School of Medicine (SOM) is a separate legal entity from New York University (NYU), with their own negotiated indirect costs rates in a separate rate agreement. For subawards that are issued from NYU to SOM, the negotiated indirect costs rates for SOM should apply. For subawards that are issued from SOM to NYU, the negotiated indirect costs rates for NYU should apply.

This rate agreement updates fringe benefits rates only.
SECTION III: GENERAL

A. LIMITATIONS:
The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its facilities and administrative cost pools as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as facilities and administrative costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

B. ACCOUNTING CHANGES:
This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowances.

C. FIXED RATES:
If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES:
The rates in this Agreement were approved in accordance with the authority in Title 2 of the Code of Federal Regulations, Part 200 (2 CFR 200), and should be applied to grants, contracts and other agreements covered by 2 CFR 200, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

E. OTHER:
If any Federal contract, grant or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of facilities and administrative costs allocable to those programs.

BY THE INSTITUTION:

New York University

(SIGNATURE) Kerri Tricario

(NAME) Assistant VP, Financial Operations +Controller

(TITLE) 04/10/17

(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(DRWAY W. Mayes)

(SIGNATURE) Darryl W. Mayes

(NAME) Deputy Director, Cost Allocation Services

(TITLE) 8/17/2017

(EAHEY) 1970

HHS REPRESENTATIVE: Jeffrey Warren

Telephone: (212) 264-2069
The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

### SECTION I: INDIRECT COST RATES

<table>
<thead>
<tr>
<th>TYPE</th>
<th>FROM</th>
<th>TO</th>
<th>RATE(%)</th>
<th>LOCATION</th>
<th>APPLICABLE TO</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROV.</td>
<td>09/01/2018</td>
<td>Until Amended</td>
<td>58.50</td>
<td>On-Campus</td>
<td>Research</td>
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<td>PROV.</td>
<td>09/01/2018</td>
<td>Until Amended</td>
<td>26.00</td>
<td>Off-Campus</td>
<td>Research</td>
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<tr>
<td>PROV.</td>
<td>09/01/2018</td>
<td>Until Amended</td>
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<td>On-Campus</td>
<td>Instruction</td>
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<tr>
<td>PROV.</td>
<td>09/01/2018</td>
<td>Until Amended</td>
<td>26.00</td>
<td>Off-Campus</td>
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<td>Until Amended</td>
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<td>26.00</td>
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*BASE

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<td>30.50</td>
<td>All</td>
<td>All Employees</td>
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<td>30.50</td>
<td>All</td>
<td>All Employees</td>
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**DESCRIPTION OF FRINGE BENEFITS RATE BASE:**

Salaries and wages.
SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

The fringe benefits are charged using the rate(s) listed in the Fringe Benefits Section of this Agreement. The fringe benefits included in the rate(s) are listed below.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

OFF-CAMPUS DEFINITION: For all activities performed in facilities not owned by the institution and to which rent is directly allocated to the project(s) the off-campus rate will apply. Grants or contracts will not be subject to more than one F&A cost rate. If more than 50% of a project is performed off-campus, the off-campus rate will apply to the entire project.
(1) The fringe benefit costs listed below are reimbursed through the fringe benefit rate: Annuity, Group Insurance, Major Medical, Hospitalization, FICA, Workmen’s Compensation, Dental Plan, Pensions, Unemployment Insurance, NYS Disability Insurance, Tuition Remission (Employee only), Travel Insurance and Disability Income Protection.

(2) Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds $3,000.

(3) The NYU Tandon School of Engineering (formerly, Polytechnic Institute) was legally integrated with New York University as of January 1, 2014. Their Provisional All Programs indirect costs rates will be 38.5% and 20%, for on-campus and off-campus respectively, from 9/1/2018 until amended. The Tandon School and New York University may at times perform work on the same awards. The approved indirect cost rates for each entity, can be applied to these awards based upon the effort performed at each site.

(4) New York University School of Medicine (SOM) is a separate legal entity from New York University (NYU), with their own negotiated indirect costs rates in a separate rate agreement. For subawards that are issued from NYU to SOM, the negotiated indirect costs rates for SOM should apply. For subawards that are issued from SOM to NYU, the negotiated indirect costs rates for NYU should apply.

(5) This rate agreement updates fringe benefits rates only.

(6) The next fringe benefit rate proposal based on fiscal year ending 8/31/2018 actual costs is due by 2/28/2019. The next F&A cost rate proposal based on fiscal year ended 8/31/2017 actual costs is due by 12/31/2018 (extension granted).
SECTION III: GENERAL

A. LIMITATIONS:
The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its facilities and administrative cost pools as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as facilities and administrative costs are not claimed as direct costs; (3) Similar types of costs have been allocated consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

B. ACCOUNTING CHANGES:
This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowances.

C. FIXED RATES:
If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES:
The rates in this Agreement were approved in accordance with the authority in Title 2 of the Code of Federal Regulations, Part 200 (2 CFR 200), and should be applied to grants, contracts and other agreements covered by 2 CFR 200, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

E. OTHER:
If any Federal contract, grant or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of facilities and administrative costs allocable to those programs.

BY THE INSTITUTION:
New York University

(SIGNATURE)
Kerr Tricario

(NAME)
Senior Controller

(TITLE)
09/19/18

DATE

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

Darryl W. Mayes

(SIGNATURE)

(NAME)
Deputy Director, Cost Allocation Services

(TITLE)

9/17/2018

(DATE)

4970

HHS REPRESENTATIVE:
Michael Leonard

Telephone:
(212) 264-2069
# FEDERAL FINANCIAL REPORT

<table>
<thead>
<tr>
<th>1. Federal Agency to which Report is Submitted</th>
<th>National Endowment for the Humanities</th>
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<tbody>
<tr>
<td>2. Federal Grant Identifying Number Assigned by Federal Agency</td>
<td>PE-263553-19</td>
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<table>
<thead>
<tr>
<th>3. Recipient Organization</th>
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<tbody>
<tr>
<td>New York University</td>
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<tr>
<td>New York, NY 10012-1019</td>
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<thead>
<tr>
<th>4a. DUNS Number</th>
<th>4b. EIN or TIN</th>
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<td>(b) (4)</td>
<td>(b) (4)</td>
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<th>5. Recipient Acct. Number</th>
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<th>6. Report Type</th>
<th>Interim</th>
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<tr>
<th>7. Basis of Accounting</th>
<th>Cash</th>
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<th>8. Project/Grant Period</th>
<th>1/1/2019 - 12/31/2020</th>
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<th>9. Reporting Period End Date</th>
<th>12/31/2019</th>
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<tr>
<th>10. Transactions</th>
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<tbody>
<tr>
<td>a. Cash receipts</td>
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<tr>
<td>b. Cash disbursements</td>
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<tr>
<td>c. Cash on hand (line a minus b)</td>
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<tr>
<th>10. Federal Expenditures and Unobligated Balance</th>
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<tbody>
<tr>
<td>d. Total federal funds authorized</td>
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<tr>
<td>e. Federal share of expenditures</td>
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<tr>
<td>f. Federal share of unliquidated obligations</td>
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<tr>
<td>g. Total Federal share (sum of lines e and f)</td>
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<tr>
<td>h. Unobligated balance of Federal funds (line d minus g)</td>
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<tr>
<th>10. Recipient Share</th>
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<tbody>
<tr>
<td>j. Recipient share of expenditures</td>
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<tr>
<th>10. Program Income</th>
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<tbody>
<tr>
<td>l. Total Federal program income earned</td>
</tr>
<tr>
<td>m. Program income expended in accordance with deduction alternative</td>
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<tr>
<td>n. Program income expended in accordance with addition alternative</td>
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<tr>
<td>o. Unexpected program income (line l minus line m or line n)</td>
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<th>11. Indirect Expense</th>
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<tr>
<td>Predetermined</td>
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<tr>
<td>g. Totals:</td>
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| 12. Remarks |

| 13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812). |

<table>
<thead>
<tr>
<th>a. Name of Authorized Certifying Official</th>
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<tbody>
<tr>
<td>Ms. Makela D. Artis</td>
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<th>b. Signature of Authorized Certifying Official</th>
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<tr>
<td>This report was signed electronically via eGMS Reach.</td>
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<tr>
<th>c. Telephone</th>
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<tbody>
<tr>
<td><a href="mailto:ma5010@nyu.edu">ma5010@nyu.edu</a></td>
</tr>
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<tr>
<th>d. Email Address</th>
<th>e. Date Report Submitted</th>
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</thead>
<tbody>
<tr>
<td><a href="mailto:ma5010@nyu.edu">ma5010@nyu.edu</a></td>
<td>3/16/2020</td>
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