

**Arts and Artifacts Indemnity Program  
International Indemnity**

OMB 3135-0123  
Exp. 06/30/2020

CFDA Number: 45.201, Funding Opportunity Number: 2018FCAH01

**How to Apply**

Please read these instructions carefully before completing your application. No indemnification agreement may be entered into unless a completed application has been received in accordance with the provisions of Public Law 94-158 (20 USC 973). Only applications that provide thorough answers to each question can be considered for a Certificate of Federal Indemnity.

For information about eligibility, the content of your application, or the Indemnity Program in general, contact:

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**How to Prepare and Submit Your Application for Indemnity**

Submitting an application is a multi-step process. You will interact with the NEA's website, Grants.gov, and the NEA's Applicant Portal. These instructions provide all of the information that you need to submit an application. We urge you to read these instructions in their entirety before you begin the application process.

**Deadline:**

<p><b>Part 1 - Submit SF-424 to Grants.gov</b></p> <p><b><i>NEW: You will submit only the SF-424 through Grants.gov. All other application materials will be submitted through NEA's Applicant Portal.</i></b></p>	<p><b>March 15, 2018 by 11:59 p.m., Eastern Time</b></p>
<p><b>Part 2 - Submit Materials to NEA's Applicant Portal</b></p>	<p><b>March 19, 2018 at 9:00 a.m., Eastern Time to March 21, 2018 at 11:59 p.m., Eastern Time</b></p>

Note: To allow time to resolve any problems you might encounter, we strongly recommend that you submit the SF-424 to Grants.gov by at least March 5, 2018.

## **Part 1: Submit the SF-424 to Grants.gov**

**You will use the Grants.gov system to complete Part 1 of the application process.**

### 1. Register or Renew/Verify Registration with Grants.gov:

- It is your organization's responsibility to create and maintain a regularly updated registration with Grants.gov. This includes registration with the System for Award Management (SAM), where your organization's information must be renewed annually. Finalize a new, or renew an existing registration at least two weeks before the application deadline. This should allow you time to resolve any issue that may arise with Grants.gov or SAM. Failure to comply with these requirements may result in your inability to submit your application.
- If your organization is not yet registered, go to Grants.gov's Get Registered. Allow a minimum of two weeks for this multi-step, one-time process. If your organization already has registered, renew your registration with SAM **and** verify that your registration with Grants.gov is current.
- If you have problems with registration contact the SAM Customer Service at 1-866-606-8220, send a message through the website at www.sam.gov, or see the information posted on the SAM website at Help.
- You may reach the Grants.gov Contact Center by calling 1-800-518-4726, e-mailing support@grants.gov, or consulting the information posted on the Grants.gov website at Support. The Contact Center is available 24 hours a day, 7 days a week.
- Maintain documentation (with dates) of your efforts to register or renew at least two weeks before the deadline.
- You do not need to complete the registration process to download the application package. However, you will need your Username and Password that you obtain during the registration process to submit your application.

### 2. Download the SF-424:

- First, verify your software. You must have a version of Adobe Reader that is supported by Grants.gov installed on your computer before you download the application package containing the SF-424 from Grants.gov. Please go to "Download Software" to see the compatible versions of Adobe Reader or to download and install Adobe Reader. Please see important information about versions of Adobe Reader DC here.
- Access the SF-424 on Grants.gov by clicking on the link below:

**[CLICK HERE TO DOWNLOAD THE SF-424 FROM GRANTS.GOV](#)**

[Funding Opportunity Number 2018FCAH01]

When you download the application package, the Grants.gov “View Grant Opportunity” screen will open. Choose “Apply” and follow the screens from there. You will be prompted to apply using a Grants.gov Workspace. If you want to learn more about using Grants.gov’s Workspace, [see here](#).

Look for the “Application Filing Name” field above the “Create Workspace” button. Enter the legal name of your organization here and then click the “Create Workspace” button. **Please note that you will submit all other components of your application during Part 2 (see page 6).**

3. Fill out the SF-424:

**NOTE:** All asterisked (\*) items and yellow fields on this form are required and must be completed before you will be able to submit. Do not type in all capital letters. Enter information directly into the form; do not copy from an old application or other document and paste into the form. Items 1 and 2 have been pre-populated. Item 3, *Date Received*, will be filled in automatically with the date that you submit your application; leave this field blank. Item 4 has been pre-populated.

SF-424 Question 5. Applicant Information:

- a. Legal Name: Enter the legal name of the U.S. nonprofit organization or government entity applying for indemnity as it appears in the current IRS 501(c)(3) status letter or in the official document that identifies the organization as a unit of state or local government, or as a federally recognized tribal community or tribe. If an exhibition is being shown at several venues, one organization should apply on behalf of all participants. The Federal Council on the Arts and the Humanities requires that the applicant must have previously organized at least one museum-caliber exhibition containing objects borrowed from one or more public and/or private collections.
- b. Address: Use Street 1 for your street address or post office box number, whichever is used for your U.S. Postal Service mailing address. Street 2 should be used only when a Suite, Room Number or other similar information is a necessary part of your address. In the Zip/Postal Code box, enter your full 9-digit zip code (you may look it up at [www.usps.com/zip4/](http://www.usps.com/zip4/)).
- d. Type of Applicant: Select the item that best characterizes your organization from the menu in the first drop down box. Additional choices are optional.
- e. Employer/Taxpayer Identification Number (EIN/TIN): Enter the 9-digit number that was assigned by the Internal Revenue Service; do not use a Social Security Number.
- f. Organizational DUNS: All organizational applicants for federal funds must have a DUNS number, which is recognized as the universal standard for identifying organizations worldwide. The number that you enter here must agree with the number (either 9 or 13 digits) that you used with the SAM as part of the Grants.gov

registration or your application will not be validated by Grants.gov and will be rejected.

- g. *Congressional District*: Enter the number of the Congressional District where the applicant organization is located. Use the following format: two-character State Abbreviation-three-character District Number. For example, if your organization is located in the 5th Congressional District of California, enter "CA-005." If your state has a single At-Large Representative or your territory has a single Delegate, enter your two digit state/territory abbreviation and "-000." If you need help, visit the House of Representatives website at [www.house.gov](http://www.house.gov) and use the "Find Your Representative" tool.

*SF-424 Question 6. Project Information:*

- a. *Project Title*: Enter the title of the exhibition.
- b. *Project Description*: In two or three brief sentences, provide a concise description of your exhibition. Include the subject matter, type of objects to be included (paintings, sculpture, manuscripts, etc.), those responsible for organizing the exhibition, and catalogue author(s).

**NOTE:** This field on the form has a character limit of 1,000, including spaces. Even if you have less than 1,000 characters, Grants.gov may translate special characters (e.g. apostrophe, question mark) in a way that will cause your application to be rejected. We strongly encourage you to write a succinct project description and double check the number of characters.

- c. *Proposed Project Start Date/End Date*: Enter the beginning and ending dates for the total period for which you are requesting indemnity coverage (this is usually one month prior to the public opening, and one month after the public closing, of the exhibition; if additional time is needed, justify the extended dates within the narrative, Question 1). The indemnity time period begins on the date that condition reports are prepared and signed, typically prior to initial packing at the lender premises, and may include the time objects are in transit and while on exhibition. Indemnity coverage ends on the date that condition reports are completed upon return to the location designated by the lender, or as determined by the Federal Council.

**NOTE:** The Federal Council rarely approves coverage for a total indemnity period greater than two years.

*SF-424 Question 7. Project Director*: Enter the name of the person responsible for organizing the exhibition. Select a Prefix (e.g., Ms., Mr.) even though this is not a required field.

SF-424 Question 8. Primary Contact/Grant Administrator. Enter information for the person who should be contacted on all matters involving this application and the administration of an indemnity agreement that may be awarded. Select a Prefix even though this is not a required field. If this individual is the same as the Project Director, you may check the "Same as Project Director" box.

SF-424 Question 9. Authorized Representative: Enter information for the Authorized Organization Representative who will submit this application to Grants.gov. The AOR must have the legal authority to obligate your organization. If the Primary Contact/Grant Administrator is the same as the AOR, complete all items under both 8 and 9 even though there will be some repetition.

By clicking the "I Agree" box at the top of Item 9, this person certifies that:

- Information contained in this application, including all supporting materials, is true and correct.
- Valuations for objects requested for indemnity are accurate and represent current fair market values to the best of his/her knowledge.
- Dated loan agreements, including U.S. dollar valuations and agreement to federal indemnity, will be in his/her hands prior to completion of the first condition report of each indemnified object to start the indemnity period.

The "Signature of Authorized Representative" and "Date Signed" boxes will be populated by Grants.gov upon submission of the application.

#### 4. Submit the SF-424 to Grants.gov:

- To begin the submission process, log on to Grants.gov and go to the Forms tab on the Manage My Workspace page. Click the "Sign and Submit" button, under the Forms tab. You will be prompted to provide your Grants.gov Password and to click the "Sign and Submit" button again. Be certain that you are satisfied with your SF-424 before you click this button. No revisions to your SF-424 are possible through Grants.gov once it is submitted.
- Once you complete and submit the SF-424, you will see a confirmation screen explaining that your submission is being processed. Retain the Grants.gov Tracking Number that you receive in the application submission confirmation screen. If you wait until the day of the deadline to submit your SF-424, you are taking a significant risk!
- We will not accept late SF-424s or late SF-424s that are the result of user error, including failure to verify that the SF-424 was validated and accepted by the Grants.gov system through **Track My Application**.
- **Failure to successfully submit the SF-424 form through Grants.gov will make you ineligible to complete Part 2 of the application process.**

#### 5. Track Your Application:

- Verify that your SF-424 was validated and accepted by the Grants.gov system. Go to **Track My Application** to confirm the validation and track the progress of your

SF-424 submission through Grants.gov. Do not wait until the day of the deadline to verify your submission in case you encounter any difficulties.

## Part 2: Submit Materials to NEA's Applicant Portal

You will use NEA's Applicant Portal to complete Part 2 of the application process.

You must first have successfully completed Part 1 (submitting the SF-424 to Grants.gov) by the Part 1 deadline. Your application will not be considered complete unless you also complete Part 2.

### Deadline:

<b>Part 1 - Submit SF-424 to Grants.gov</b>  <i><b>NEW: You will submit only the SF-424 through Grants.gov. All other application materials will be submitted through NEA's Applicant Portal.</b></i>	<b>March 15, 2018 by 11:59 p.m., Eastern Time</b>
<b>Part 2 - Submit Materials to NEA's Applicant Portal</b>	<b>March 19, 2018 at 9:00 a.m., Eastern Time to March 21, 2018 at 11:59 p.m., Eastern Time</b>

Do not attempt to complete Part 2 before the system becomes available to you on these dates. We strongly encourage you to prepare your materials well in advance of the deadline and have them fully ready to upload once the system opens.

Proceed as follows:

1. Complete the Grants.gov application process, as detailed in Part 1 above.
2. On March 19, 2018 the **NEA will email you the log in information** (Username and Password) for accessing the Applicant Portal. The Applicant Portal is located at: <https://applicantportal.arts.gov>. It is best viewed in Firefox 45.9 and higher, Chrome 58 and higher, or Internet Explorer 11 and higher. NEA staff will be available to address questions you may have.
3. Upload the items listed below to the Applicant Portal by 11:59 p.m., Eastern Time, on March 21, 2018.
  - Item 1: Indemnity Narrative, including floor plans, facility reports, etc.
  - Item 2: Identification and U.S. Dollar Value of Non-United States-Owned Objects Requested for Indemnity

- Item 3: Identification and U.S. Dollar Value of United States-Owned Objects Requested for Indemnity
  - Item 4: Identification of Objects Not Requested for Indemnity
  - Visual Documentation
4. **New: Password protect each file** (e.g., PDF, Excel) before you upload it to the Applicant Portal. This feature generally is located through the “File” tab of each program. **Use the same password for each file. After completing Part 2, email this password to the NEA’s Indemnity staff at [loikop@arts.gov](mailto:loikop@arts.gov) and [bramblel@arts.gov](mailto:bramblel@arts.gov).**
  5. File names must not: exceed 100 characters; begin with a space, period, hyphen, or underline; or contain these characters: #%&{\<>\*/\$!“:+'`=" @.
  6. When you upload your files, you will find a field into which you will have the option to enter information into a Title and Description box. Enter the name of the file in the Title box. Each descriptive field should provide only a brief overview of the item as a whole.
  7. There is a limit of 250 MB for all of your Part 2 application materials combined.
  8. Submit your application. You can confirm that your application was received when you log in to the Applicant Portal. On the first screen it will say “Submitted” if your application has been received. If your application has not yet been received, it will say “In Progress.”

### **Item 1: Indemnity Narrative**

- Your narrative must address the items below as they relate to objects/venues requested for indemnity.
- Use the boldfaced numbers and headings below to organize your response.
- Label all pages clearly with your organization’s legal name and “Indemnity Narrative.”
- No page format should exceed 8 1/2 x 11 inches. Do not reduce type below 12-point font size. Do not type in all capital letters. Number pages sequentially.
- Convert your file to PDF before uploading.
- The file name should indicate the name of your organization or a recognizable acronym followed by “Indemnity Narrative” (e.g., “ABCOrganizationIndemnityNarrative”).
- **New: Password protect each file** (e.g., PDF) before you upload it to the Applicant Portal. This feature generally is located through the “File” tab of each program. **Use the same password for each file. After completing Part 2, email this password to the NEA’s Indemnity staff at [loikop@arts.gov](mailto:loikop@arts.gov) and [bramblel@arts.gov](mailto:bramblel@arts.gov).**

#### **1. Title, Place(s) and Dates of Exhibition**

- (a) Include the exhibition title, and specific venue, city, state, and country, and dates, where and when it will be viewed. If indemnity coverage is requested to begin or end at a site other than the lender premises, indicate specific site and dates. If indemnified objects will be placed in storage at any time during the indemnity period, give dates and the facility to be used, and within the applicable Narrative sections fully describe

how objects will be cared for and protected (the Federal Council may determine storage periods to be ineligible for indemnity coverage).

- (b) Explain if indemnity coverage for any objects is requested for specific time periods only (i.e. to not include inbound or outbound transit, or, not be shown at all venues).

**NOTE:** The Federal Council generally limits indemnity coverage for a single exhibition to five venues (or fewer, depending upon the type and condition of the objects) and/or two years or less. The Federal Council requires that participating venues must have previously organized or hosted at least one museum-caliber exhibition, with loans from public and/or private collections. Indemnity should not be requested for inaugural exhibitions in new buildings or substantially renovated spaces.

**NOTE:** Report modifications of the exhibition title and/or dates that occur after application submission to the Indemnity Administrator, even if the change is applicable to individual venues.

## **2. Total Number and Value of Objects Requested for Indemnity**

- (a) Total current U.S. dollar lender value of all objects requested for indemnity.
- (b) Total **number** and U.S. dollar lender **value** of non-U.S.-owned objects requested for indemnity.
- (c) Total **number** and U.S. dollar lender **value** of U.S.-owned objects requested for indemnity.
- (d) Estimate of private/commercial insurance premium which would be required to cover objects requested for indemnity, if indemnity was not approved.
- (e) Source of the insurance premium estimate.

## **3. Total Number and Value of the Entire Exhibition**

- (a) Total current U.S. dollar valuation for all objects in the entire exhibition (include objects requested for indemnity, and objects not requested for indemnity).
- (b) Total number of objects in the entire exhibition.

## **4. Exhibition Significance**

- (a) State the significance and the educational, cultural, historical, and/or scientific value of the objects requested for indemnity, and for the entire exhibition.
- (b) Explain how the risk to the objects is justified by the purposes of the exhibition.
- (c) Provide the name of the organizer, and the name and title of the curator responsible for the exhibition at each venue.
- (c) Indicate if there will be a catalogue or publications and name the author(s).
- (d) Describe related public activities planned in conjunction with the exhibition at each venue.



If coverage is requested for non-U.S.-owned and U.S.-owned objects, demonstrate that the non-U.S.-owned objects are integral to the exhibition as a whole to justify application for International Indemnity. This information is essential for the Federal Council to evaluate the significance and value of objects to be indemnified and their relationship to the exhibition.

5. **Packing, Shipping, Environmental, and Security Arrangements for Objects Requested for Indemnity**

**IMPORTANT: NOTE ON IMMUNITY FROM JUDICIAL SEIZURE**

Statute 22 U.S.C. 2459 and Executive Order 12047 authorize the Department of State to issue notices in the Federal Register to immunize certain cultural objects from seizure by judicial process. The objects must be imported into the United States pursuant to an agreement between the non-U.S. owner or custodian and a U.S. cultural or educational institution for a non-profit exhibition or activity. Prior to publication of the immunity notice, the Department of State must determine that the exhibition of objects is in the national interest, and that the objects are of cultural significance. **The Federal Council strongly recommends applying for this protection for all international exhibitions.** To obtain further information, or to apply for such protection, contact:

Office of the Legal Advisor for Public Diplomacy and Public Affairs United States  
Department of State, [www.state.gov](http://www.state.gov)

**NOTE:** If a Certificate of Indemnity is awarded it will be based primarily on details provided in Question 5. The indemnitee must notify the Indemnity Administrator **IN ADVANCE** to any change affecting the time period, list of objects, arrangements for packing, shipping, handling, installation, environment, security, storage, etc. as stated herein or subsequently submitted, for approval by the Federal Council before an awarded Certificate can be amended. The Federal Council will NOT be responsible for loss or damage to an indemnified object occurring as a result of an unauthorized change.

Indemnity is intended to cover objects in exhibitions for which the most professional and thorough “best practices” care in packing, shipping, climate control, and security arrangements is provided. This section is a critical part of the application and will be examined very closely. If coverage is requested for both non-U.S. and U.S.-owned objects, describe arrangements for the non-U.S. first, followed by the U.S. For these arrangements to be assessed it is essential that you state as completely as possible the policies, procedures, techniques, and methods to be employed with respect to the following categories (use the headings below to organize your response). Include descriptive charts, diagrams, and illustrations as applicable. You may include these items as part of Item 1 or as separate PDF uploads.

**NOTE:** When objects are specifically identified within the narrative, include their corresponding numbers from lists for Questions 12 and 13.

**NOTE:** Indicate if objects will not be exhibited at all venues (this may be noted on the lists for Questions 12 and/or 13), and provide applicable logistics.

**NOTE:** At the end of the Narrative include a current facility report for each venue, off-site storage facility and other location (other than the lender) that may be utilized regardless of the length of time indemnified objects will be located there during the indemnity period.

(a) Packing arrangements at premises designated by the lender(s).

1. Provide name of the institution and/or company responsible for the initial packing and crating from the location designated by the lenders, and fully describe all interior and exterior packing and crating specifications (materials and methods), especially for each type of object (these may differ by lender).
2. Confirm that crates will acclimatize for at least 24 hours before unpacking at each location.
3. Confirm that pack/crate notes, with applicable photographs, will be recorded upon initial unpacking at the first venue and will be shared with participating venues.
4. Describe the location and conditions where empty crates/packing materials will be stored during the exhibition, including environmental statistics (depending on conditions, the Federal Council may require that empty crates acclimate to exhibition gallery conditions for 24-48 hours prior to packing).

(b) Shipping and security arrangements during transport.

**NOTE:** The Federal Council requires that each conveyance vehicle containing indemnified objects be accompanied by a courier on board. Vehicles must never be left unattended.

Generally, shipment of objects by "hand carry" is not approved.

**DO NOT INCLUDE DATES OF TRAVEL FOR SHIPMENTS/COURIERS.**

1. Fully describe the shipping and security arrangements for the objects during transport, including the initial assemblage, transfer between sites, and return to the lenders.
2. Provide names of shipping companies (if using a coordinator, forwarder or sub-contractor also provide the names of companies operating the vehicles in which the objects will be transported), and conveyance vehicle specifications (i.e. dual drivers, always occupied, alarms, locks, environmental controls, GPS, etc.), to be used for all shipments.
3. For air travel provide anticipated airlines (but not flight numbers) and airports to be used, names of shipping/customs companies and their duties, and confirm tarmac supervision for all flights.
4. Describe TSA screening location and procedures (methods, equipment, etc.) for cargo departing on passenger flights from U.S. airports.
5. Provide anticipated titles/positions of couriers, and confirm that couriers will

ride on board each conveyance vehicle.

(c) Packing and shipping arrangements for fragile objects (see also 12(B) NOTE).

For objects considered to be fragile and/or vulnerable to the hazards of loan, such as large and/or heavy works, oil on wood panel paintings, or objects comprised of multiple media:

1. Give accurate descriptions of present conditions, including name and qualification of person(s) responsible for making the assessment, and your means of verifying the satisfactory condition of these objects prior to the initial packing.
2. Describe special precautions to be taken for packing, shipping, handling, and installation to minimize the risk of damage.
3. For objects with one or more dimension beyond 120 inches, explain if they disassemble to under 120 inches (give number of sections and size of each) for packing, crating, transit, and installation, and provide specific details as applicable.
5. For oil on wood panel paintings, describe climate conditions at the lender premises as known, and how the environment will be maintained throughout the indemnity period.

(d) Condition reports.

**NOTE:** All condition reports must be made during the indemnity period. Submission of condition reports with the application is not required. However, an applicant is encouraged to provide a condition report for an especially fragile object as evidence of its stability. In the event of a claim for loss or damage condition reports must be available immediately for inspection by the Federal Council.

If a Certificate of Indemnity is awarded, the indemnitee is responsible for confirming the stability of the objects for travel and, if necessary, to assure the Federal Council at any time during the indemnity period that conditions of objects correspond to the initial condition reports.

1. Confirm if a qualified professional has determined that objects are able to withstand the rigors of packing, shipping, and installation.
2. Indicate provisions for providing condition reports at the following points, giving the name and/or title of the person(s) responsible for filing the report:
  - 2i. Immediately prior to packing and shipping from the location of lender.
  - 2ii. Immediately upon delivery, after 24 hour acclimatization, and inspection at each venue.
  - 2iii. Immediately prior to packing and shipping from each venue.
  - 2iv. Immediately prior to packing and return shipping to location of lender.
  - 2v. Immediately upon delivery, after 24 hour acclimatization, and inspection at location of lender.

3. If storage facilities will be used, indicate provisions for providing condition reports, as applicable.

(e) Climate control conditions (at exhibition venues and storage facilities).

**Facility reports will be used as reference only.** For each venue (include specific places in the building where indemnified objects will be located), and at each storage facility, provide:

1. Specifications of the type, operation, and maintenance oversight of the climate control equipment.
2. Temperature: degrees in Fahrenheit and average 24-hour ranges.
3. Relative humidity: percentage(s) and average 24-hour ranges.
  - 3i. Method to maintain RH in display cases, vitrines, etc. as applicable.
4. Light levels: maximum level in foot-candles to be set for each object type.
5. Special precautions to be taken for objects susceptible to damage as a result of fluctuations or extremes in humidity, temperature and/or lighting (such as wood, furniture, works on paper, etc.).

**NOTE:** For objects considered light sensitive the Federal Council recommends that light levels not exceed ten foot-candles.

(f) Security arrangements (at exhibition venues and storage facilities).

**NOTE:** The Federal Council requires human presence 24-hours/7-days inside buildings where indemnified objects are located.

Each approved participating venue must submit to the Indemnity Administrator a letter from its Chief of Security, endorsed by its Director, within 30 days preceding the opening of the exhibition at that venue, to certify that security arrangements remain as stated in the approved application or as subsequently submitted and approved.

**Facility reports will be used for reference only.** For each venue (include specific places in the building where indemnified objects will be located), and at each storage facility, describe:

1. Number of guards assigned to this exhibition area while the exhibition is open to the public.

**AT THE END OF THE NARRATIVE INCLUDE A FLOOR PLAN** of the exhibition galleries for each venue, indicating anticipated guard placement and their possible line of sight to indemnified objects.
2. Number of guards on duty in the building 24/7 while the exhibition is **not** open to the public.
3. How galleries will be protected, and if a guard will be present at each gallery entrance to restrict access, during installation and de-installation.
4. Electronic surveillance and monitoring.
5. Fire protection measures, including if exhibition galleries and storage areas

have wet or dry sprinklers.

6. Installation plans, and related security, for objects by type/size/weight, etc.

Also include:

6i. general and specialized installation equipment to be used.

6ii. security hardware such as hanging rods, screws, alarms, and vitrines, stanchions, pedestals, barriers (for each type of obstacle provide anticipated depth in inches between the outermost projection of objects and public reach), etc., to be used.

6iii. other protective measures, and especially to mitigate against seismic activity.

(g) Transit limit per conveyance (vehicle) of transportation.

**NOTE:** The Federal Council generally permits a maximum of \$80 million of indemnified value per conveyance. In special circumstances, approved limits may be less than, or more than, \$80 million. An applicant may request a waiver of up to \$100 million of indemnified value per conveyance, and should provide justification for the request beyond that of financial relief. Value in excess of the amount indemnified must be insured by the indemnitee or other party.

1. Indicate the maximum value of indemnified objects to be transported in a single conveyance (vehicle) of transportation.

(h) Government Regulations, as applicable.

1. Indicate if, and by whom, application will be filed for immunity from judicial seizure through the U.S. Department of State.

2. Indicate if, and by whom, application will be filed for CITES permits through the U.S. Department of the Interior, Fish and Wildlife Services.

3. Describe, and indicate if, and by whom, application for other specific regulatory permissions will be filed, as may be required.

## 6. Other Insurance Arrangements

**NOTE:** The maximum limit of indemnity coverage per exhibition is \$1.8 billion.

The Arts and Artifacts Indemnity Act provides for a deductible per exhibition of:

- \$15,000 for up to \$2 million in indemnified value;
- \$25,000 over \$2 million up to \$10 million in indemnified value;
- \$50,000 over \$10 million up to \$125 million in indemnified value;
- \$100,000 over \$125 million up to \$200 million in indemnified value;
- \$200,000 over \$200 million up to \$300 million in indemnified value;
- \$300,000 over \$300 million up to \$400 million in indemnified value;
- \$400,000 over \$400 million up to \$500 million in indemnified value;
- \$500,000 over \$500 million in indemnified value.

- (a) State the insurance or other arrangements, including name(s) of the insurance company, to cover the deductible and any value in excess of the amount approved for indemnity.

## **7. Financial Arrangements**

- (a) List the source(s) of assured or anticipated support to be used to cover the general expenses of organizing the exhibition.
- (b) Describe the nature and amount of loan fees or other contractual arrangements in excess of \$10,000 for the entire exhibition with lenders to the exhibition or with foreign governments representing lenders.

## **8. Previous Losses/Damages**

- (a) Describe any loss or damage over \$5,000 to permanent collection or borrowed objects (whether or not a claim was filed) incurred by the applicant, a participating venue, and/or storage facility named herein, during the three years prior to this application.

For each loss/damage include:

1. Location and date of the event.
2. Nature and cause.
3. Description and appraised value of the object(s) before and after the event.
4. If litigation determined blame or negligence.
5. Measures taken to prevent reoccurrence.

**Note:** Should loss and/or damage be incurred by the applicant, a participating venue, and/or storage facility after this application is submitted, notify the Indemnity Administrator immediately.

## **9. Accreditation by the American Alliance of Museums (AAM)**

**NOTE:** Accreditation is not required to receive an indemnity. However, if an applicant or participating venue is not accredited, the Federal Council reserves the right to request a statement from that venue describing its procedures for handling loss or damage, or other pertinent information.

- (a) State if each participating venue is accredited by AAM, and date of last accreditation.

## **10. Exhibitions Outside the United States**

The Arts and Artifacts Indemnity Act permits U.S.-owned objects to be indemnified while on exhibition outside the U.S., preferably when they are part of an exchange of exhibitions between a foreign country and the U.S.

For exhibitions from the U.S. on exhibition abroad, priority will be given: 1) if an exchange of exhibitions is planned, and 2) if the responsibility for indemnity will be shared between the U.S. and foreign institution(s). An exchange of exhibitions can be conceived and planned concurrently by the U.S. and foreign institutions, or created in response within five years (i.e., the time lapse between the end of the first exhibition and the beginning of the second should not exceed five years). Both exhibitions should be of comparable importance.

- a) If this exhibition will take place outside the U.S., describe in detail the nature of the exchange, information about the exhibition being shown in the U.S. and any other insurance arrangements.
- b) If no exchange is planned, explain if the country in which this exhibition is to be shown has an indemnity program.

If a single exhibition contains objects U.S.-owned and non-U.S.-owned, and is to be shown at sites both in the U.S. and abroad, indemnity can be requested for the U.S.-owned and non-U.S.-owned objects while on exhibition in the U.S., and for the U.S.-owned objects only while on exhibition abroad. However, priority for coverage will be given to joint exhibitions in which the responsibility for indemnity is shared by the U.S. and foreign institutions.

- c) If this application is for coverage of a single exhibition, with non-U.S.- and U.S.-owned objects on exhibition in the U.S., and U.S.-owned objects on exhibition abroad, include a statement to that effect in Question 6(b) of SF-424, and:
  - i. Include all relevant application information (e.g. places and dates of exhibition; packing, shipping, security, environmental information; provision of condition reports, facility reports, floor plans, etc.) for all venues in the appropriate application questions of the Narrative.
  - ii. Include Question 12 (Identification and Valuation of Non United States-Owned Objects Requested for Indemnity) for coverage of non-U.S.-owned objects while on exhibition in the U.S.; and Question 13 (Object Identification and Valuation for United States-Owned Objects Requested for Indemnity) for coverage of the U.S.-owned objects while on exhibition in the U.S. and abroad.

**Note:** indemnity under these guidelines does not cover exhibitions consisting solely of U.S.-owned objects on exhibition in the U.S., or solely of non-U.S.-owned objects on exhibition abroad.

## **11. Third Party Opinion of Lender Value For Objects Requested for Indemnity**

The applicant must have lender values assessed by experts other than staff of the applicant, participating venues, lenders, or anyone directly involved with the exhibition. An expert may be, for example, personnel of an auction house or dealer, or an outside curator unaffiliated with the exhibition. If requested objects are of two or more types,

cultures, time periods, etc., it may be necessary to consult more than one expert (they do not need to be from the same source). The Third Party 1) may agree with the lender value as fair market value, or 2) may believe the lender value is lower than fair market value, or 3) may believe the lender value is higher than fair market value. If the Third Party does not concur with the lender value he/she should suggest an alternate value. State the Third Party's opinion of the values in the Identification and U.S. Dollar Value of Objects Requested for Indemnity (Items 2 and 3, and as applicable, 4); see instructions, below.

(a) Provide the name and title for each expert and a brief statement that establishes his/her expertise and qualifications (see Question 12(g)).

**NOTE:** In no case will an approved indemnified value exceed the lender value.

**Item 2 – “Question 12: Identification and U.S. Dollar Value of Non-United States-Owned Objects Requested for Indemnity” list, Item 3 – “Question 13: Identification and U.S. Dollar Value of United States-Owned Objects Requested for Indemnity” list, and Item 4 – “Question 14: Identification of Objects Not Requested for Indemnity” list:**

- Submit Items 2, 3, and 4 as separate **MS Excel** spreadsheet files as specified in sections 12, 13, and 14 below. **Do not convert spreadsheets into PDF format.** Use Arial, 12-point font size. Do not type in all capital letters. Pages should appear in LANDSCAPE format to fully fit onto an 8 1/2 x 11 inch sheet.
- Name your file before you upload it. The name of the file should indicate the name of your organization or a recognizable acronym followed by “Item 2” or “Item 3” or “Item 4” (e.g., “ABCOrganizationItem2”).
- **New: Password protect each file** (e.g., Excel) before you upload it to the Applicant Portal. This feature generally is located through the “File” tab of each program. **Use the same password for each file. After completing Part 2, email this password to the NEA’s Indemnity staff at [loikop@arts.gov](mailto:loikop@arts.gov) and [bramblel@arts.gov](mailto:bramblel@arts.gov).**

**12. Item 2: Identification and U.S. Dollar Value of Non-United States-Owned Objects Requested for Indemnity**

**NOTE:** Country of ownership is determined by the residence of the legal lender and not by the location of the object.

Provide a numbered list of all objects for which indemnity is requested in spreadsheet LANDSCAPE format. Follow this template, using only these column titles and row numbers (information must match information provided with the visual documentation; see instructions for Visual Documentation preparation, below).



A	B	C	D	E	F	G	H
Number	Object Type	Object Description	Lender	Lender Value	Source of Lender Valuation	3 <sup>rd</sup> Party Opinion Value	Source of 3 <sup>rd</sup> Party Opinion Value
12.1							
12.2, etc.							

**NOTE:** The applicant determines the order of the list (by lender, lender location, artist, theme, etc.).

Include the following information for each object:

- (a) **Number:** Start with number 12.1 and number consecutively. This number must match the number for the same object in the visual documentation that you submit, and also where the specific object is described within the narrative text.
- (b) **Object Type:** For example, painting, drawing, photograph, ceramic, sculpture, furniture, jewelry, textile, scientific instrument, manuscript, etc.

Indemnity does not consider auxiliary materials, such as frames, cases, mounts, etc. unless specifically itemized and for which full details, value, and image are submitted.

**NOTE:** For concern of risk, the Federal Council is generally opposed to indemnifying oil on copper paintings, objects containing pastel, chalk, charcoal, lacquer, certain types of glass (including enamels), works on parchment or vellum, marquetry, frescoes, and other fragile objects. Oversized objects (exceeding 10 feet/120 inches in any direction, or of an excessive weight) and oil on wood panel paintings will be reviewed on a case by case basis. Oil on single wood panels larger than two feet by three feet (with one dimension no greater than 24 inches) will not be indemnified. The Federal Council may determine that objects be moved to the list of non-indemnified objects.

- (c) **Object Description:** Artist name, nationality and dates, title, date, medium, support, dimensions in inches (include HxWxD for 3-D objects), and if applicable a lender accession/inventory number. If the borrower does not agree with a lender's attributions, explain.

Indicate if an object contains more than one part (e.g., a pair of earrings). If an object is described as a pair or set, it is the applicant's responsibility to advise the lender of the Federal Council's policy regarding loss of a part of a pair or set (see Clause 7 of the Certificate of Indemnity). Objects considered part of a pair/set must have individual values.

In addition:

- For objects directly on or mounted onto *panel, wood or board*, include the type of wood.
- For *collages* and *mixed media*, identify the medium/materials (and support, if applicable) of each element.
- For *manuscripts* and *sketchbooks*, indicate the entire number of pages, and the number and size of illuminations or illustrations. Give page number(s) to be exhibited.
- For *books*, give the number and date of the edition and, if possible, the rarity (e.g. the number of known copies), and describe annotations or associations. Give page number(s) to be exhibited.
- For *prints* and *photographs*, give the date of the print, indicate if the print was not made by the artist or photographer, and note if it is the only state, or which state it is, if known.
- For *large* and/or *particularly heavy objects*, give the weight in pounds.

- (d) Lender: **Full name**, city, state, and country of location or residence of the legal owner. Private lenders must be identified by name, city, state, and country of residence, even if represented by an agent on their behalf (i.e. if a gallery or dealer is listed as owner but is acting on behalf of the owner, the owner and place of residence must be included). Objects owned by a curator associated with this exhibition must be listed under Question 14 "Identification of Objects Not Requested for Indemnity" (Item 4).

**NOTE:** Objects owned by the applicant or participating venues may not be indemnified while on exhibition at that lender's premises. If traveling, such objects may be included in Questions 12 and 13 for coverage while in transit (starting with condition reports) and/or while on exhibition at other participating venues. Objects owned by the applicant or participating venues to be exhibited only at that venue should be included in Question 14.

- (e) Lender Value: Lender's value, converted to U.S. dollars, for each object.

**NOTE:** All values submitted will be considered. Value in excess of amounts approved for indemnity must be insured by the indemnitee or other party.

Generally, for objects with lender values greater than \$100 million, the Federal Council will limit indemnity coverage to no more than \$100 million per object. Objects considered part of a pair/set must have individual values.

Provide U.S. dollar value rounded to the nearest full dollar. Convert foreign currency values into U.S. dollars; indemnity claims are paid only in U.S. dollars. Reasonable currency fluctuations anticipated to occur during the indemnity period should be reflected and justified in the valuations.

Enter the lender value. Set Excel “decimal places” to 0, to avoid including cents. Then enter the total of these lender values in the cell directly under the last lender value. For example, if the list ends at 12.34, enter the total value requested in the cell **under** the Lender Value for 12.34. In the cell directly to the left of this total, type the phrase “**TOTAL REQUESTED INDEMNITY FOR QUESTION 12**.” This phrase, **and the total value**, should be in **BOLD**.

**NOTE:** The list of objects and values is included in the Certificate of Indemnity and will be the basis to determine the amount of a certified claim payment. All final lender values must be provided before an approved Certificate of Indemnity will be issued.

- (f) Source of Lender Value: If value is provided by the lender, write "Lender" (do not include a person's name); or, if lender value is unconfirmed at the time of the application, write name and title (e.g. John Doe, curator) of the individual estimating a temporary value to be considered for the application until the lender value is confirmed. Values may be updated for consideration prior to the meeting of the Advisory Panel; increased values will not be considered after the meeting of the Advisory Panel.
- (g) 3rd Party Opinion Value: Third Party opinion value rounded to the nearest full U.S. dollar (see Question 11). Follow the instructions in (e) Lender Value, above.
- (h) Source of 3rd Party Opinion Value: Name of the Third Party providing the opinion.

### **13: Item 3: Identification and U.S. Dollar Value of United States-Owned Objects Requested for Indemnity**

**NOTE:** Country of ownership is determined by the residence of the legal lender and not by the location of the object.

Using the instructions for Question 12, provide a separate numbered list, starting with 13.1, of all U.S.-owned objects for which indemnity is requested.

#### **14. Item 4: Identification of Objects Not Requested for Indemnity**

This information is necessary for the Federal Council to determine the educational, cultural, historical, or scientific value of the exhibition as a whole.

Using the instructions for Question 12, provide a separate list, starting with 14.1, of all objects to be included in the exhibition for which indemnity is **not requested**. Complete columns A-F only. For (d) Lender: if a private lender does not wish to be identified, indicate "private lender." For (e) Lender Value: applicants are strongly encouraged to provide U.S. dollar values for objects. This information is reviewed to assess values given in Questions 12 and 13. Applicants who do not furnish U.S. dollar values for objects in Question 14 may be requested to do so. Logistical arrangements and visual materials are not required for objects not requested for indemnity.

#### **Visual Documentation**

Submit digital images in two separate PDF files: one PDF for the objects requested for indemnity, and one PDF for the highlight images. Image size should be consistent. To avoid unnecessarily large files, each image/file has a size limit of 1 MB. There is a limit of 250 MB for all of your Part 2 application components combined.

**New: Password protect each file** (e.g., PDF) before you upload it to the Applicant Portal. This feature generally is located through the "File" tab of each program. **Use the same password for each file. After completing Part 2, email this password to the NEA's Indemnity staff at [loikop@arts.gov](mailto:loikop@arts.gov) and [bramblel@arts.gov](mailto:bramblel@arts.gov).**

**NOTE:** object information provided for each image must match information provided with Lists 12 and 13; see instructions for **12 and 13. Items 2 and 3: Identification and U.S. Dollar Value of Objects Requested for Indemnity**, above:

Submit:

1. One image **per page** of each object requested for indemnity, and include:
  - Number matching the number used in the lists for Question 12/Item 2 and Question 13/Item 3
  - Artist
  - Title
  - Medium
  - Dimensions
  - **NOTE: DO NOT INCLUDE LENDER OR VALUE**
2. Twelve images, **one object per page**, to highlight the exhibition. Preference is that the images represent objects requested for indemnity. The applicant determines the order of the images, which should best present the exhibition by theme, or chronology, nature, significance, rarity, etc. The order of the images does not need

to follow the numerical order used in the lists for Question 12/Item 2 and Question 13/Item 3.

Number the highlight images **1-12 (these are NOT the same numbers as in Item 2 and 3 lists)**, and include on each page:

- Number matching the number used in the lists for Question 12/Item 2 and Question 13/Item 3
- Artist
- Title
- Medium
- Dimensions
- **NOTE: DO NOT INCLUDE LENDER OR VALUE, AND DO NOT INCLUDE EXPLANATORY TEXT (see next)**

**On a separate page at the end of the PDF** provide a list numbered 1-12, and for each number include:

- Number matching the number used in the list for Question 12/Item 2 and Question 13/Item 3
- Artist
- Title
- Medium
- Dimensions
- Up to three BRIEF, CONCISE sentences describing the object, such as its importance to the exhibition, or to the artist's oeuvre, etc.
- **NOTE: DO NOT INCLUDE LENDER OR VALUE**

## **REPORTING BURDEN**

The public reporting burden for the collection of information is estimated to average 45 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The Federal Council on the Arts and the Humanities welcomes suggestions to improve the instructions and making them as easy to use as possible. Send comments regarding this burden estimate or other aspect of this collection of information, including suggestions for reducing this burden to Patricia Loiko at the address above. Applicants are not required to respond to the collection of information unless it displays a currently valid Office of Management and Budget (OMB) control number.