

## Grant Applicants Program Guidelines

### American Heritage Preservation Grants -- FY 2011 Guidelines

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CFDA Number 45.303

A special initiative of the Conservation Project Support Program in partnership between IMLS and Bank of America

**Application Deadline: September 15, 2010**

Applicants must apply through [Grants.gov](http://Grants.gov) (see [www.ims.gov/grantsgov](http://www.ims.gov/grantsgov) for more information).

#### Dear Colleagues



We are pleased to present the 2011 guidelines for the American Heritage Preservation Program, a public-private partnership between the Institute of Museum and Library Services and the Bank of America Charitable Foundation. This program is designed to fund the preservation of endangered and fragile collections of art, rare books, scientific specimens, and historical documents (photographs, maps, deeds, etc.) held in the nation's small- and medium-sized museums, archives, and libraries.

This important partnership builds on the Institute of Museum and Library Services' [Connecting to Collections: A Call to Action](#), a multi-year, multi-faceted initiative created to raise public awareness of, and inspire action for, the care of America's collections. The initiative implements the recommendations of an IMLS-supported study, [A Public Trust at Risk: The Heritage Health Index Report on the State of America's Collections](#), which found that nearly 190 million objects in U.S. collections are in immediate need of restoration or conservation.

These grants are intended to assist your institutions with activities that ensure the safekeeping and care of our nation's precious artifacts, and help you to share the impact of these activities with your community. It is through the preservation and care of our collective heritage that America's communities stay vital.

We encourage you to take this opportunity to apply for American Heritage Preservation Grants.

Sincerely,

Marsha L. Semmel  
Acting Director, IMLS

#### Contact Information

For more information, call or write:

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Web site: [www.imls.gov](http://www.imls.gov)

**Teletype (TTY/TDD) (for persons with hearing difficulty):** 202/653-4614

Upon request, the Institute will provide an audio recording of this or any other publication.

### **Office of Management and Budget Clearance Numbers**

Guidelines: OMB No. 3137-0029; Expiration Date July 31, 2010.  
Forms: OMB No. 3137-0071; Expiration Date: July 31, 2010.

### **Burden Estimates and Request for Public Comments**

Public reporting burden for the collection of information per the guidelines' instruction is estimated to average 40 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. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services at the address above; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0029), Washington, DC 20503.

Public reporting burden is estimated to average 15 minutes per response for the Program Information Sheet, 3 hours per response for the Detailed Budget and Summary Budget, and 10 minutes per response for the Partnership Statement. Send comment regarding this burden estimate or any other aspect of this collection of information, including suggestion for reducing this burden, to the Institute of Museum and Library Services, Chief Information Officer, 1800 M Street, NW, 9th Floor, Washington, DC 20036-5802; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0071), Washington, DC 20503.

IMLS programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Civil Rights Officer, Institute of Museum and Library Services, 1800 M Street, NW, 9th Floor, Washington, DC 20036-5802.

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#### General Information

##### About the Institute of Museum and Library Services

The Institute of Museum and Library Services is the primary source of federal support for the nation's 123,000 libraries and 17,500 museums. The Institute's mission is to create strong libraries and museums that connect people to information and ideas. The Institute works at the national level and in coordination with state and local organizations to sustain heritage, culture, and knowledge; enhance learning and innovation; and support professional development. To learn more about the Institute and its resources, please visit [www.ims.gov](http://www.ims.gov).

The Institute supports the full range of museums, including art, history, science and technology, children's, natural history, historic houses, nature centers, botanical gardens, and zoos; and all types of libraries, including public, school, academic, research, and archival. Our robust capacity for research, evaluation, policy analysis, grantmaking, and partnerships helps make it possible for libraries and museums to be leaders in their communities.

Museums and libraries are America's leading public institutions, making knowledge available to millions at little or no cost. As public institutions they must meet a very high threshold of mission accountability and use resources wisely for public good.

Through grants and information resources, we annually reach thousands of museums and libraries in myriad ways—from providing much needed technical assistance for small institutions to establishing national and replicable models, strengthening state networks, and supporting professional development. To aid institutions in program design, we also provide tools for strategic planning and evaluation. Funding from the Institute helps museums and libraries operate effectively and give value to their communities. It also leverages additional public and private support.

Collecting and disseminating results from funded projects, engaging in research, and publishing reports enables the Institute of Museum and Library Services to make a significant contribution to library, museum, and information policy and practice in the United States.

##### Museums and Libraries Strengthen 21st Century Skills

In the summer of 2009, the Institute released *Museums and Libraries and 21st Century Skills*. The report [and accompanying Web site](#) describe the role libraries and museums play in engaging their communities and contributing to workforce and education goals. Through a self-assessment tool, case studies, and policy analysis, the report establishes the essential role that libraries and museums play in creating an engaged citizenry and competitive workforce. The report highlights the ways in which these institutions support information, communications, and technology literacy; creativity and problem solving; civic literacy; global awareness; and other 21st century skills.

The report helps libraries and museums align institutional mission, infrastructure, staff, and programming to engage communities in learning. The report has also spurred an agency-wide *21st Century Skills* initiative. This year, IMLS will host workshops around the country to help museums, libraries, and other community organizations identify and address 21st century skills needs in their communities. Also, look for additional resources on the IMLS Web site as well as a series of Webinars and a national contest to identify current promising practices.

The Institute also encourages grant proposals that promote the skills necessary to develop 21st century communities, citizens, and workers.

### **Connecting to Collections: A Call to Action**

Over the course of the past four years, IMLS and its partners have provided leadership, resources, and grants to help make conservation of collections a priority in America's collecting institutions. *Connecting to Collections: A Call to Action*, an initiative grounded in the results of the *Heritage Health Index* report, is now in its final phase. A series of convenings has taken place, including a national summit; four forums, each addressing a crucial issue in collections care; and an international seminar on "Connecting to the World's Collections: Making the Case for the Conservation and Preservation of Our Cultural Heritage," held in Salzburg, Austria. In addition, almost 3,000 sets of the *IMLS Connecting to Collections Bookshelf* have been sent to small museums, libraries, and archives throughout the country.

For further information:

- Visit the *Connecting to Collections* Web site at [www.imls.gov/collections](http://www.imls.gov/collections); it is a rich resource with webcasts of convenings and links to a comprehensive list of online resources.
- Apply for funding to care for collections through the Conservation Project Support program, the Conservation Assessment Program, and the American Heritage Preservation Grants program, which will be offering its third round of funding this year.
- Connect to statewide efforts supported by IMLS *Connecting to Collections* Planning Grants and Implementation Grants. Planning Grants were awarded to 57 states and territories, and five Implementation Grants are underway with additional awards expected this year.
- Stay tuned for more information about webinars that are being developed in cooperation with Heritage Preservation and the American Association for State and Local History.

The Institute's partners for *Connecting to Collections* include Heritage Preservation, the American Association for State and Local History, the American Institute for the Conservation of Historic and Artistic Works, the Getty Foundation, the Luce Foundation, Bank of America, the Kress Foundation, United Parcel Service, the National Endowment for the Arts, the National Endowment for the Humanities, and the President's Committee on the Arts and the Humanities, among others.

### **Museums and Libraries Engaging America's Youth**

Museums and libraries have a rich array of resources—collections, staff, programs—that engage youth by inspiring curiosity and fostering learning. These cultural institutions also provide safe and welcoming environments for kids. Libraries and museums are essential community partners that have a significant role to play in helping youth succeed in school, work, and life. Through its *Museums and Libraries Engaging America's Youth* initiative, the Institute looked back at the youth-oriented programs it funded to examine what works and to share effective practices. A convening of practitioners, educators, and informal learning experts looked at elements of successful programs – such as positive environment, institutional support, professional development, and evaluation—and how museums and libraries can enhance their role as community partners. If your application to the American Heritage Preservation Grants program involves youth, please see these publications for tips and recommendations in designing effective programs, as well as for valuable resources and bibliography.

Youth Resources (available at [www.imls.gov/youth](http://www.imls.gov/youth)):

- The **Final Report** shares the results of the year-long study on the impact of IMLS grants (1998-2003) through programs that served youth aged 9-19. Nearly 400 museum and library programs were surveyed about their goals, strategies, content, audience, and structure, as well as about their impact, effectiveness, and outcomes.
- The **Practitioner's Guide** provides practitioners with the information needed for planning and implementing effective youth programs. It includes a variety of resources and references to critical works that have been gathered from the fields of youth and community development,

education, and informal learning.

## About American Heritage Preservation Grants

The purpose of the American Heritage Preservation Grants program is to raise awareness and fund preservation of treasures held in small and mid-sized museums, libraries and archives that convey the essential character and experience of the United States. These artifacts can be of diverse origin, but should have significance in the heritage of the community in which they are now held.

Priority will be given to smaller institutions, but all libraries, archives, and museums that meet IMLS institutional eligibility criteria are eligible to apply. Grants will provide funds to preserve specific items, including works of art, rare books, scientific specimens and historical documents (photographs, maps, deeds, etc.) that are in need of conservation. These funds are not intended to fund a small portion of a larger project, but are aimed at completing a stand-alone conservation project. Applicants will build on completed conservation assessments of their collections, to ensure that the American Heritage Preservation Grants go towards projects that represent best practices in the field and underscore the importance of assessment planning (Conservation Assessment Program (CAP) [www.heritagepreservation.org/CAP/about.html](http://www.heritagepreservation.org/CAP/about.html) grants, NEH Preservation Assistance grants (PAG) [www.neh.gov/grants/guidelines/pag.html](http://www.neh.gov/grants/guidelines/pag.html), state grant programs, or other internal or external strategic assessments). All eligible institutions may apply for projects in the following areas:

- Treatment of library, museum and archival collections
- Improvement of collections storage
- Environmental improvement of collections

### IMLS Web Conferencing with Program Staff

IMLS offers opportunities to discuss your application or general issues about the American Heritage Preservation Grants program with the program staff. We do this through a Web conferencing system (called Adobe® Acrobat® Connect® Pro) that combines audio conferencing (like traditional teleconferencing systems) and webinar capabilities. We invite you to join the conference to see and hear presentations by IMLS program staff, ask questions, and listen to the questions and comments of other participants.

The conference call schedule for the American Heritage Preservation Grants program is:

August 5, 2010, at 3:00-4:00 p.m. Eastern Time  
August 12, 2010, at 3:00-4:00 p.m. Eastern Time

Visit <http://instmus.acrobat.com/ahpg-applicants> to log in to the webinar, and then follow the instructions to have the Web conference system connect to your phone to ensure that you can call in with questions.

If you are unable to connect to the online webinar system, please use the following audio conference number and passcode to dial in to the call:

Conference call number: 1-888-850-4523  
Participant passcode: 761243

Please note that the schedule is subject to change. The week the webinar is scheduled, visit the [grant page for American Heritage Preservation Grants](#) to confirm the date and time, and to find out more details about logging in to the system.

**Important!** Before the week of your conference, please test your computer's compatibility with Adobe® Acrobat® Connect® Pro by visiting the following link: [http://my.adobe.acrobat.com/common/help/en/support/meeting\\_test.htm](http://my.adobe.acrobat.com/common/help/en/support/meeting_test.htm) before the conference.

## Eligibility

### Museum Eligibility

A museum applicant to the American Heritage Preservation Grants must

1. be either a unit of state or local government or a private nonprofit organization that has tax-exempt

- status under the Internal Revenue Code;
2. be located in one of the 50 states of the United States of America, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
  3. qualify as:  
a museum<sup>1</sup> that, using a professional staff,<sup>2</sup> (1) is organized on a permanent basis for essentially educational or aesthetic purposes; (2) owns or uses tangible objects, either animate or inanimate; (3) cares for these objects; and (4) exhibits these objects to the general public on a regular basis through facilities that it owns or operates<sup>3</sup>.

Please note that a museum located within a parent organization that is a state or local government or multipurpose not-for-profit entity, such as a municipality, university, historical society, foundation, or cultural center, may apply on its own behalf if the museum: (1) is able to independently fulfill all the eligibility requirements listed above; (2) functions as a discrete unit within the parent organization; (3) has its own fully segregated and itemized operating budget; and (4) has the authority to make the application on its own. When any of the last three conditions cannot be met, a museum may apply through its parent organization.

Prospective applicants that cannot fulfill all of these requirements should contact IMLS to discuss their eligibility before applying. IMLS may require additional supporting documentation from the applicant to determine the museum's autonomy. Each eligible applicant within a single parent organization should clearly delineate its own programs and operations in the application narrative. A parent organization that controls multiple museums that are not autonomous but which are otherwise eligible may submit only one application per grant program; the application may be submitted by the parent organization on behalf of one or more of the eligible museums.

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<sup>1</sup> Museums include, but are not limited to, aquariums, arboretums, art museums, botanical gardens, children/youth museums, general museums (those having two or more significant disciplines), historic houses/sites, history museums, natural history/anthropology museums, nature centers, planetariums, science/technology centers, specialized museums (limited to a single distinct subject), and zoological parks.

<sup>2</sup> An institution uses a professional staff if it employs at least one professional staff member, or the full-time equivalent, whether paid or unpaid, primarily engaged in the acquisition, care, or exhibition to the public of objects owned or used by the institution.

<sup>3</sup> An institution exhibits objects to the general public if such exhibition is a primary purpose of the institution. An institution that exhibits objects to the general public for at least 120 days a year is deemed to exhibit objects to the general public on a regular basis.

An institution that exhibits objects by appointment may meet the requirement to exhibit objects to the general public on a regular basis if it can establish, in light of the facts under all the relevant circumstances, that this method of exhibition does not unreasonably restrict the accessibility of the institution's exhibits to the general public.

An institution that does not have as a primary purpose the exhibition of objects to the general public but that can demonstrate that it exhibits objects to the general public on a regular basis as a significant, separate, distinct, and continuing portion of its activities, and that it otherwise meets the museum eligibility requirements, may be determined to be eligible as a museum under these guidelines. For more information, please see 45 C.F.R. Chapter XI, Subchapter E (Institute of Museum and Library Services).

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### **Library and Archive Eligibility**

A library or archive applicant to the American Heritage Preservation Grants must be:

- either a unit of state or local government or private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
- located in one of the fifty states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
- one of the six types of organizations listed below:

1. A library or a parent organization, such as a school district, a municipality, a state agency, or an academic institution, that is responsible for the administration of a library. Eligible libraries include public libraries, elementary and secondary school libraries, college and university libraries, research libraries and archives that are not an integral part of an institution of higher education and that make publicly available library services and materials that are suitable for scholarly research and not otherwise available, and private or special libraries that have been deemed eligible to participate in this program by the state in which the library is located.
2. An academic or administrative unit, such as a graduate school of library and information science, which is a part of an institution of higher education through which it would make application.
3. A digital library, if it makes library materials publicly available and provides library services, including selection, organization, description, reference, and preservation under the supervision of at least one permanent professional staff librarian.
4. A library agency that is an official agency of a state or other unit of government and is charged by the law governing it with the extension and development of public library services within its jurisdiction.
5. A library consortium that is a local, statewide, regional, interstate, or international cooperative association of library entities that provides for the systematic and effective coordination of the resources of eligible libraries, as defined above, and information centers that work to improve the services delivered to the clientele of these libraries.
6. A library association that exists on a permanent basis, serves libraries or library professionals on a national, regional, state, or local level, and engages in activities designed to advance the well-being of libraries and the library profession.

## **Application Review Process**

The Institute uses a peer review process that includes individual field review and/or panel review to competitively evaluate all eligible and complete applications. Reviewers are professionals in the field who have relevant knowledge and expertise in the types of activities and organizations identified in the applications. Reviewers are instructed to evaluate proposed projects according to the criteria identified in the program guidelines. The Institute's director makes final funding decisions based on the reviewers' evaluations and the overall goals of the program and the agency.

### **How to Serve as a Reviewer**

All competitive awards are reviewed by library and museum professionals who know the needs of communities, can share best practices, and are well versed in the issues and concerns of museums and libraries today. There are many benefits to volunteering to review applications. If you are selected to serve, you will help the Institute and the museum and library communities and strengthen the grant review process. If you are interested in serving as a reviewer for the Institute, you can be included in our database of potential reviewers by submitting your information through our online reviewer forms at [www.ims.gov/reviewers/reviewers.shtm](http://www.ims.gov/reviewers/reviewers.shtm).

## **Award Information**

### **Application Deadline**

The FY2011 deadline for American Heritage Preservation Grants is September 15, 2010.

### **Project Start and End Date**

Projects may begin on March 1, April 1, or May 1, 2011. Projects must begin on the first day of the month and end on the last day of the month. Generally, project activities supported by these grants may be carried out for up to one year.

### **Award Amounts**

Maximum Grant Award: \$3,000.

### **Cost Sharing**

There is no cost sharing requirement for American Heritage Preservation Grants.

### **Award Announcements**

No information about the status of an application will be released until the applications have been reviewed and all deliberations are concluded. IMLS will notify both funded and unfunded applicants of final decisions by late February, with funded projects to begin no earlier than March 1, 2011.

### **Use of Funds**

Allowable expenses for American Heritage Preservation Grants include but are not limited to such items as

- Materials and supplies for the treatment of collection legally owned by the applicant;
- Collections storage materials such as acid-free boxes and folders, mylar sleeves, etc.;
- Project personnel (contract or in-house) whose staff time is necessary for the proper and efficient execution of the project;
- Project consultants and their travel;
- Repair and stabilization activities that are directly related to the project;
- Micro-environments for an object, specimen, or room (e.g., storage);
- Basic environmental monitoring equipment and conservation supplies; and
- Educational materials All proposed expenses must be justified in the application budget.

Unallowable Expenses for American Heritage Preservation Grants include such items as

- digitization of collections;
- general museum and library fundraising costs, such as development office expenditures or other staff time devoted to general fundraising;
- general advertising or public relations costs designed solely for promotional activities other than those related to the specific project;
- contributions to endowments;
- acquisition of collections;
- social activities, ceremonies, receptions, or entertainment;
- construction and renovation of facilities; and
- pre-grant costs.

### **Project Evaluation**

At the end of the project all grantees are required to submit a final performance report that documents project goals and project design, and that provides an analysis of the project. The report requires quantitative information on project activities and audiences reached. It also requires quantitative and qualitative data that documents project achievements, summarizes lessons learned, and documents outcomes and, if applicable, large-scale or long-term results that affect one or more institutions, communities, or fields.

See the final report form at [www.ims.gov/docs/rptInstructions.doc](http://www.ims.gov/docs/rptInstructions.doc) and a glossary of key reporting terms at [www.ims.gov/pdf/Glossary.pdf](http://www.ims.gov/pdf/Glossary.pdf).

### **Copyright/Work Products**

IMLS requires acknowledgment of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval for another arrangement. The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. IMLS reserves, for federal government purposes, a royalty-free, worldwide, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that awardees provide two copies of any products produced with IMLS funds to IMLS with the final reports.

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#### Preparing and Submitting an Application

##### Grants.Gov information and instructions

Organizations that are applying under the September 15, 2010 deadline for the American Heritage Preservation Grant program must submit their applications through Grants.gov, the federal government's online application system. The Grants.gov system will accept applications through 11:59 p.m. eastern time on September 15, 2010. The deadline date remains the same from year to year. Should the deadline fall on a Saturday, Sunday, or federal holiday in a given year, the deadline will be extended to the next business day.

While the deadline is September 15, 2010, IMLS recommends strongly that applicants REGISTER EARLY and COMPLETE AND SUBMIT THEIR APPLICATION EARLY. All applicants who are using Grants.gov must register with Grants.gov before submitting their application. The multistep registration process generally cannot be completed in a single day. Applicants who are not already registered should allow at least two weeks to complete this one-time process. DO NOT WAIT UNTIL THE WEEK OF THE APPLICATION DEADLINE TO REGISTER.

**Find Grant Opportunities:** [www.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www.grants.gov/applicants/find_grant_opportunities.jsp)

- Search opportunities
  - Basic search
  - Browse by category
  - Browse by agency
  - Advanced search
- Email subscription
  - All grants
  - Advanced criteria
  - Specific Funding Opportunity Number (FON)
  - Unsubscribe

**Get Registered:** [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)

- Step 1: Get permission from your organization to be an Authorized Organization Representative (AOR)

- Step 2: Register your organization
  - Request a D-U-N-S® Number
  - Register with the Central Contractor Registry (CCR)
  - Organization registration checklist
- Step 3: Register yourself on Grants.gov as an AOR

**Apply for Grants:** [www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp)

Step 1: Download a grant application package

**Use one of the following identifiers to locate the  
American Heritage Preservation Grants package:**

**CFDA No: 45.303**

**Funding Opportunity Number: AHPG-FY11**

IMLS applicants must download two packages to get all of the necessary forms and instructions:

1. *Download Application Instructions and IMLS forms:* This package contains these grant application guidelines (which include instructions for completing the application) and the IMLS forms for, program information, Detail and Summary Budgets, Partnership Statements, and any others related to this specific program. These IMLS forms may also be accessed from the IMLS Web site at the following link: <http://www.imls.gov/collections/grants/boa.htm>
2. *Download Application Package:* This package has the Face Sheet (SF-424S, "Application for Federal Domestic Assistance/Short Organizational Form"), Abstract, and the Attachments form.

Step 2: Complete the grant application package

Step 3: Submit the completed grant application package

*Important deadline information:* Applications must be received by 11:59 p.m. on September 15, 2010, in the Grants.gov system. Within 48 hours of submitting a grant application, applicants will receive two email messages from Grants.gov.

- The first will confirm receipt of the application by the Grants.gov system.
- The second will indicate that the application has either been successfully validated by the system prior to transmission to the grantor agency OR has been rejected because of errors.

Only applications validated by the Grants.gov system will be available to IMLS for the grant review process.

*Applicants are encouraged to not wait until the final hours before the deadline to submit their applications. Submitting early may enable an applicant to deal with unexpected problems.*

Step 4: Track the status of a submitted grant application package

Within 30 working days after the application deadline, IMLS will e-mail applicants an acknowledgment form with an application log number. Applicants who do not receive this form in the stated time should contact IMLS to ensure that their application was successfully logged.

### **Grants.gov Help**

For direct assistance with Grants.gov, contact the Grants.gov help desk via e-mail at [support@grants.gov](mailto:support@grants.gov), or call Grants.gov at 1-800-518-4726. Grants.gov hours are 24 hours a day, seven days a week; closed on federal holidays. Please keep this in mind when submitting an application with a Monday deadline.

The Grants.gov help desk will assign a case number to each inquiry. This number only documents the inquiry to the help desk and is in no way related to the tracking number that Grants.gov will assign to an application once it has been successfully submitted.

Help is also available on the Grants.gov Web site at [www.grants.gov/help/help.jsp](http://www.grants.gov/help/help.jsp).

- User manual for applicants: [www.grants.gov/assets/ApplicantUserGuide.pdf](http://www.grants.gov/assets/ApplicantUserGuide.pdf)
- Frequently asked questions (FAQs): [www.grants.gov/help/faq.jsp](http://www.grants.gov/help/faq.jsp)
  - General FAQs
  - Applicant FAQs
  - Submit Application FAQs
  - Adobe® and Acrobat® Reader® FAQs
- How to convert documents to PDF format: [www.ims.gov/pdf/PDFConversion.pdf](http://www.ims.gov/pdf/PDFConversion.pdf)
- Download Adobe® Acrobat® software: Step 1 in [www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp)
- Glossary: [www.grants.gov/help/glossary.jsp](http://www.grants.gov/help/glossary.jsp)
- D-U-N-S® help: <http://fedgov.dnb.com/webform/displayHomePage.do>
- D-U-N-S® FAQs: <http://fedgov.dnb.com/webform/displayFAQPage.do>
- CCR help:
  - CCR Handbook: [www.ccr.gov/doc/CCR\\_Handbook.pdf](http://www.ccr.gov/doc/CCR_Handbook.pdf)
  - CCR FAQs: [www.ccr.gov/FAQ.aspx](http://www.ccr.gov/FAQ.aspx)

NOTE: Once an organization has registered with the CCR, the registration must be renewed each year. Go to: [www.ccr.gov/Renew.aspx](http://www.ccr.gov/Renew.aspx).

#### Five Tips for Working Successfully with Grants.gov:

- Start early! Go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp) to register. Utilize Grants.gov resources at [www.grants.gov/applicants/applicant\\_faqs.jsp](http://www.grants.gov/applicants/applicant_faqs.jsp). The Grants.gov Web site has checklists, FAQs, and online tutorials to assist you in preparing your organization to submit applications. You should also utilize the central Contractor Registration (CCR) user's guide at [www.bpn.gov/ccr/doc/CCRUsersGuide.pdf](http://www.bpn.gov/ccr/doc/CCRUsersGuide.pdf). Please note that your CCR registration must be renewed annually.
- Consider designating more than one Authorized Organization Representative (AOR) for your organization when you register. This will help to avoid last-minute crises in the event that a single AOR is unavailable when you are ready to submit your application. This person might not be the same person that you list as the Authorized Representative for IMLS. Also, you should update the AOR at Grants.gov each year or when staff at your organization changes.
- Make technological choices that help you.
  - Download the most recent version of Adobe® Acrobat® Reader® onto your computer for best results. Make sure to submit all documents in Adobe® PDF format.
  - Follow the instructions in these Grant Guidelines to convert your documents into PDFs. (See [www.ims.gov/pdf/PDFConversion.pdf](http://www.ims.gov/pdf/PDFConversion.pdf).)
  - Use Internet Explorer® for your browser when submitting the application to Grants.gov. Mozilla® Firefox® and Apple Safari® are not currently compatible with this process
- These Grant Program Guidelines contain extensive instructions to help you with this entire process. Read through these materials. You will be more likely to receive the assistance you need if you take the time to familiarize yourself with the basic instructions and guidance provided in these Guidelines.
- Contacts Grants.gov help ([www.grants.gov/help/help.jsp](http://www.grants.gov/help/help.jsp) or 1-800-518-4726) for assistance with hardware and software issues, registration issues, or technical problems. Contact your program officer for assistance with guidelines, eligibility, project, or timeline (schedule of completion) questions. Grants.gov help hours are 24 hours a day, seven days a week; closed on federal holidays. Please keep this in mind when submitting an application with a Monday deadline.

#### Preparing an Application

### Application Component Formats

An application requesting funding from the American Heritage Preservation Grants program must include material in the following formats:

- **Grants.gov form:** These forms are available only in the package downloaded from Grants.gov. Applicants will need Adobe® Acrobat® Reader® to fill out these forms.
- **IMLS forms:** These forms are available in both Microsoft® Word document and Fill-in PDF formats, and are located both in the downloaded Grants.gov file and on the IMLS Web site <http://www.imls.gov/applicants/grants.gov/ahpg11.shtm>. If you do not have Adobe® Acrobat® Pro, we suggest using the Word document to complete the forms. Remember, the Word versions **must be converted to and submitted as a PDF**.
- **PDF documents:** Applicants should convert any other required application components from their original formats into PDFs. **Again, they must be attached to the application as PDFs.**

For assistance in converting documents to PDF, visit  
[www.imls.gov/pdf/PDFConversion.pdf](http://www.imls.gov/pdf/PDFConversion.pdf).

### Application Component Naming and Sequencing

The IMLS forms and other components that are part of the application must each be saved as a PDF that is named according to the following table. Note: IMLS will not convert files for applicants and will not accept file formats other than PDF. Also, please do not send secured PDFs because IMLS cannot process these files.

Append all of the documents to the Attachments form in the prescribed sequence. If there are more attachments than will fit in the "Mandatory Documents for Submission" box on Grants.gov, please use the "Optional Documents for Submission" box for the remaining ones, following the same naming convention.

The following table lists the sequence in which each component should be appended to the Attachment form, the format required for each component, the naming convention for application components. The name of the component is linked to detailed instructions for each component. **The SF424S is a Grants.gov form that will automatically be saved as a PDF.**

NOTE ON SEQUENCING: The first column below is for sequencing purposes only. If a document is not required for your particular application, do not skip a space on the Attachments Form; rather, insert the subsequent document for your application into the next numbered space. For example, a one year project will only require a Detailed Budget for Year 1; some applications may not require a Partnership statement; etc.

### Application Components

Attach in this Order	Component	Format	File name to use
n/a	<a href="#">The Application for Federal Assistance/Short Organizational Form SF-424S</a>	Grants.gov form	n/a
1st	<a href="#">Program Information Sheet</a>	IMLS form <a href="#">Download here</a>	Programinfo.pdf
2nd	<a href="#">Organizational Profile</a>	PDF document	Organizationalprofile.pdf
3rd	<a href="#">Narrative</a>	PDF document	Narrative.pdf
4th	<a href="#">Schedule of Completion</a>	PDF document	Scheduleofcompletion.pdf
5th	<a href="#">Detailed Budget form</a>	IMLS form <a href="#">Download here</a>	Detailedbudgetyear1.pdf
6th	<a href="#">Summary Budget form</a>	IMLS form <a href="#">Download here</a>	Summarybudget.pdf
7th	<a href="#">Budget Justification</a>	PDF document	Budgetjustification.pdf

8th	<a href="#">List of key project staff and consultants</a>	PDF document	Projectstaff.pdf
9th	<a href="#">Staff resumes (2 pages each, max)</a>	PDF document	Resumes.pdf
10th 11th Etc.	<a href="#">Letter(s) of Commitment (if applicable)</a>	PDF document	LetterOfCommitment1.pdf LetterOfCommitment2.pdf Etc.
12th	<a href="#">Proof of nonprofit status (if applicable)</a>	PDF document	Proofnonprofit.pdf
13th 14th 15thEtc.	<a href="#">Supporting documentation (if applicable)</a>	PDF Document	Supportingdoc1.pdf Supportingdoc2.pdf Supportingdoc3.pdf Etc.

## SF-424S: Application for Federal Domestic Assistance/Short Organizational Form

### 1-4

These items are automatically filled in by Grants.gov.

### 5. Applicant Information

a. Legal Name: Enter the legal name of the organization that is making the application. Please see "Institutional Eligibility" for eligibility details. If the eligible entity does not have the authority to apply directly to IMLS for funding, enter the name of the parent organization that is submitting the application on behalf of the eligible entity. Enter the name of the eligible entity in the space provided for "Organizational Unit" on the Program Information Sheet, Question 1b.

b. Address: Use Street1 for the organization's street address or post office box number, whichever is used for its U.S. Postal Service mailing address. Street2 is not a required field and should be used only when a Suite or Room Number or other similar information is part of the address.

In the Zip+4/Postal Code box, enter the **full nine-digit** Zip code assigned by the U.S. Postal Service. An organization's full Zip code can be retrieved at [www.usps.com/zip4](http://www.usps.com/zip4).

c. Web Address: Enter the Web address of the legal applicant.

d. Type of Applicant: Select the one code that best characterizes the applicant organization from the menu in the first dropdown box. Leave the other boxes blank. The following types of applicants are not eligible to receive 21MP Grants:

- Individual
- Public/Indian Housing Authority
- For-profit organization
- Small business
- Nondomestic (non-U.S.) entity

e. EIN/TIN: Enter the nine-digit number assigned by the IRS; do not use a Social Security number.

**Note:** The Taxpayer Identification Number (TIN) is an identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security number is issued by the SSA, whereas all other TINs are issued by the IRS. An Employer Identification Number (EIN), also known as a federal tax identification number, is a nine-digit number that the IRS assigns to business entities. The IRS uses this number to identify taxpayers that are required to file various business tax returns.

f. Organizational D-U-N-S®: All organizational applicants for federal funds must have a D-U-N-S® Number.

**Note:** To improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget (OMB) directed all federal agencies to require all applicants for federal grants to provide a Dun and Bradstreet Data Universal Numbering System (D-U-N-S®) Number when applying for federal grants or cooperative agreements on or after October 1, 2003.

Organizations should verify that they have a D-U-N-S® Number or take steps to obtain one. Organizations can receive a DUNS number at no cost by calling the dedicated toll-free D-U-N-S® Number request line at 1-866-705-5711 or by visiting [www.dnb.com/us](http://www.dnb.com/us). Individuals who would personally receive a grant or cooperative agreement award from the federal government apart from any business or nonprofit organization they may operate are exempt from this requirement.

Ensure that the number entered here agrees with the number (either 9 or 13 digits) that was used with the CCR (Central Contractor Registry) as part of the Grants.gov registration.

g. Congressional District: Enter the number of the congressional district in which the applicant organization is located. Use the following format: two-letter state abbreviation, followed by a hyphen, followed by the three-digit district number. For example, if the organization is located in the 5th Congressional District of California, enter "CA-005." For the 12th district of North Carolina, enter "NC-012." For states and territories with "At Large" congressional districts—that is, one representative or delegate represents the entire state or territory—use "001," e.g., "VT-001."

If an organization does not have a congressional district (e.g., it is located in a U.S. territory that does not have districts), enter "00-000." To determine an organization's district, visit the House of Representatives Web site at [www.house.gov](http://www.house.gov) and use the "Find Your Representative" tool.

## 6. Project Information

a. Project Title: Provide a brief descriptive title.

b. Project Description: Briefly describe the specific project, not the applicant organization. Use clear language that can be understood readily by readers who may not be familiar with the discipline or subject area.

c. Proposed Project Start Date/End Date: Enter the beginning and ending dates for the requested period of support, that is, the span of time necessary to plan, execute, and close out the proposed project. [See Project Start and End Dates for American Heritage Preservation Grant projects.](#)

## 7. Project Director

Provide the requested information for the Project Director, who will be responsible for carrying out the project and who will serve as the key contact person with IMLS regarding the progress achieved under the grant. Leave the Social Security number blank. Select a prefix (even though this field is not required on Grants.gov).

## 8. Primary Contact/Grants Administrator

Provide the requested information for the individual who should be contacted on all matters involving this application and the administration of any grant that may be awarded. For colleges and universities, this person is often a sponsored research, sponsored programs, or contracts and grants officer. In some museums, the person could be the development director. Leave the Social Security number blank. Select a prefix (even though this field is not required on Grants.gov). In some organizations, particularly smaller ones, this individual may be the same as the Project Director. If this is the case, check the "Same as Project Director" box. (If the Primary Contact/Grants Administrator is the same as the Authorized Representative, please complete all items under both 8 and 9 even though there will be some repetition.)

## 9. Authorized Representative

Enter the name and contact information of the person who has the authority to apply for federal support of the applicant's activities and enter into legal agreements in the name of the applicant. The Authorized Representative should not be the same person as the Project Director. By checking the "I Agree" box at the top of Item 9, this individual certifies the applicant's compliance with relevant federal requirements (the "IMLS Assurances and Certification" section). All written correspondence will be addressed to the Authorized Representative.

For Grants.gov applications, the "Signature of Authorized Representative" and "Date Signed" boxes will be populated upon submission of the application. Submission of the application by the Authorized Representative certifies compliance with relevant federal requirements as the signature does on a paper application.

## Program Information Sheet

[Download the Program Information Sheet in PDF and Word formats here.](#)

## 1. Applicant Information

a. Legal Name: Enter the legal name of the applicant.

b. and c. Organizational Unit and Address:

If the eligible entity cannot apply for grants on its own behalf, then enter the name and address of the entity in these spaces. For example, if a museum that is part of a parent organization, such as a university, is applying, the university would be the legal applicant, and the museum would be entered as the organizational unit. Be sure to include the four-digit extension on the Zip code. Note: A Friends group is not eligible unless it is the legal governing authority for the applicant organization.

d. Web Address: If an organizational unit is listed, enter its Web address here. If not, enter the Web site of the entity listed at Legal Name in Section 1a above.

e. Type of Institution: Select the one that most accurately describes the applicant. [See eligible organizations.](#)

## 2. Grant Program or Grant Program Category

Select b.

## 3. Request Information

a. IMLS Funds Requested: Enter the amount sought from IMLS.

b. Cost Share Amount: Enter the amount here if applicable. [Click here for further information.](#)

## 4. Museum Profile (Museum Applicants only)

Museum applicants must answer all questions in this section.

## 5–7

Applicants for American Heritage Preservation Grants should skip these sections.

## 8 Collection and Material Information

Select the type of collection in section a. In section b, select up to four materials primarily involved in the project.

## Organizational Profile

Provide an organizational profile of no more than one page. Include the following information:

- The applicant's mission or statement of purpose, noting the source, approving body, and date of the official document in which it appears. The applicant may quote from or summarize to convey the essential points of the statement if the statement itself is too long to be quoted in full. It must accurately portray the applicant's mission or purpose.
- The applicant's service area (communities and/or audiences served, including size, demographic characteristics, and geographic area.
- A brief history of the institution or organization.

## Narrative

Limit the narrative to four single-spaced, numbered pages. Applicant's name must appear at the top of each page.

All pages should have at least 0.5 inch margins on all sides, and the font size should be no smaller than twelve point type. Use the Optional Attachments to provide supplementary material.

The following provides guidance in preparing the narrative component of the [American Heritage Preservation Grant application. There are four sections to the narrative. Applicants must address each section and related review criteria separately, and in the same order in which they are listed below. Review criteria are listed with each section of the narrative. These criteria describe what the reviewers are instructed to consider as they evaluate the proposal. A well-designed proposal narrative is thorough and succinct while addressing the bullet points under each section as well as the review criteria.

IMLS reviewers base their evaluations only on the information presented in the application. This makes it very important for applicants to prepare a clear, concise, well-organized document.

1. Statement of need:

- What kind of assessment has the institution undertaken (Conservation Assessment Program survey (CAP), NEH Preservation Assistance Grants (PAG), state supported surveys, or other internal or external assessments)?
- Please describe current collections care activities.

Reviewer criteria: Evidence that the project will address the needs identified in an assessment. Evidence that the institution is practicing good, responsible collections care.

## 2. Project Design:

- Describe the object(s), book(s), historic document(s), or specimen(s) that is the focus of the project and explain its significance to the institution and the community.
- Describe the conservation activities in the project (treatment, storage improvement, or environmental improvements).

Reviewer criteria: Evidence that the project proposes an efficient, effective, and reasonable approach to accomplish clear goals and objectives. Evidence that the methodology and design are appropriate to the scope of the project.

## 3. Project Resources: Time, Personnel and Budget

- How much time will be allocated to the project?
- Who are the key staff and consultants involved in the project, their qualifications and experience with this type of conservation procedure?
- How are resources, monetary or in-kind, adequate to complete the project?

Reviewer criteria: Evidence that the staff and consultants are appropriate for the project. Evidence that the time line is reasonable to accomplish the goals of the project. Evidence that sufficient funds have been allocated to accomplish the project.

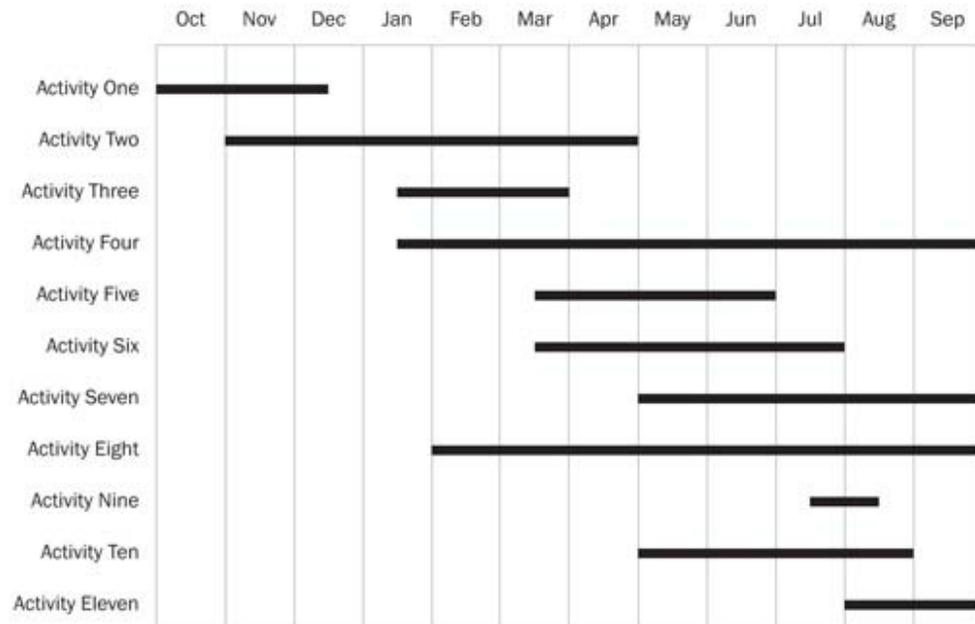
## 4. Impact

- What impact will this conservation or rehousing project have on how the institution cares for its collection?
- What impact will this project have on the community that your institution serves?

Reviewer criteria: Evidence that the collection will be better cared for after this project. Evidence that results of the project will be shared with the community.

## Schedule of Completion

The applicant must provide a Schedule of Completion that shows when each major project task will be undertaken, marks the milestones for each grant activity, and designates how grant funds will be spent throughout the project. The Schedule of Completion must also correspond to the activities described in the narrative, and the project dates on the Application for Federal Domestic Assistance/Short Organizational Form (SF-424S) and Budget Forms. One way to plot this information is in a graph or chart that lists project activities and the corresponding months when these activities would take place during the project. See example below. Applicants may prepare theirs in a similar manner, but this format is not required. This document may also be created as a narrative or spreadsheet but should be no longer than one page per year. Whichever format is selected, be sure to list each major project activity addressed in the application narrative and the date each activity begins and ends. If the proposed activity is part of a larger project, make sure the IMLS-funded portion is clearly identified. *Click image below for a larger view.*



## Budget

The application requires three elements to describe the costs of a proposed project:

- Detailed Budget ([Download in PDF and Word formats here.](#))
- Summary Budget ([Download in PDF and Word formats here.](#))
- Budget Justification

### Detailed Budget

Applicants need to fill out a copy of the Detailed Budget Form for each year of the project. The first Detailed Budget Form should begin on the project start date and end 12 months later. If the project timeline exceeds one year, the subsequent 12-month period(s) must be shown on separate Detailed Budget Forms. (Note: If the project timeline exceeds any number of months beyond a 12-month period, an additional Detailed Budget Form is required for the subsequent months. No more than 12 months may be included on a single Detailed Budget Form.)

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by cost sharing (from the applicant or other sources). In-kind contributions to cost sharing may include the value of services or equipment that is donated to the project. All of the items listed, whether supported by grant funds or cost-sharing, must be reasonably necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the applicant's cost sharing. When indirect costs are charged to the project, care should be taken to ensure that expenses included in the organization's indirect cost pool (see "Indirect Costs" below) are not charged to the project as direct costs.

"Method of Cost Computation" can refer to a percentage of a person's time devoted to the project, a number of days, a quantity of items, and so on. This column should clarify how the applicant arrived at the costs indicated.

1. **Salaries and Wages:** Indicate both temporary and permanent staff by noting "temp" or "perm" in parentheses after each staff member listed.
2. **Fringe Benefits:** Fringe benefits may include contributions for Social Security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs. Fringe benefits may only be claimed on the portion of Salaries and Wages identified for this project.
3. **Consultant Fees:** List the individuals or groups who will provide consulting services for the project

- and their fees, and explain the method of computation for the fees.
4. **Travel:** The lowest available commercial fares for coach or equivalent accommodations must be used, and foreign travel must be undertaken on U.S. flag carriers when such services are available.
  5. **Supplies and Materials:** In general, list the costs of material purchased specifically for the proposed project. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.
  6. **Services:** List the costs of project activities to be undertaken by a third-party contractor, including a partner, under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. Attach a complete itemization of these costs to the IMLS Budget Form. If there is more than one contractor, list the cost of each contract separately on the IMLS Budget Form and include an attached itemization.
  7. **Student Support:** Ignore this section. It does not apply to the American Heritage Preservation Grants program.
  8. **Other Costs:** Please do not use the "Other Costs" section to list items that did not fit in the number of lines allotted for another section. If more lines are needed for a specific section, the information should be summarized in the Detailed Budget Form and further explained in the Budget Justification.
  9. **Total Direct Costs:** Add the subtotal amounts from the previous sections.
  10. **Indirect Costs:** Ignore this section. It does not apply to the American Heritage Preservation Grants program.
  11. **Total Project Costs:** Complete the first line; ignore the second line, which is specific to another IMLS grant program.

### **Summary Budget**

The Summary Budget should clearly identify the amount requested from IMLS and the amount provided as in-kind contributions by the applicant, by any partners, and from any other sources.

### **Budget Justification**

The budget justification is a narrative document that explains and gives further detail about all Detailed Budget Form line items. For example, the budget justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses. The application should provide specifications for all hardware and software for which IMLS funding is requested. Any costs that were consolidated and summarized in the detailed budget form should be itemized and explained within the appropriate section of the budget justification. The format of the justification should follow the section headings on the Detailed Budget Form.

IMLS encourages applicants to contribute as cost share the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the narrative should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The narrative should also explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified. The cost of project activities to be undertaken by a third-party contractor, or a partner, should be listed under "Services" on the Detailed Budget as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be provided by the third party. A complete itemization of these costs should be included as part of the Budget Justification. If there is more than one contractor, the cost of each contract must be listed separately on the IMLS Detailed Budget Form and an itemization must be included as part of the Budget Justification.

### **List of Key Project Staff, Consultants, and Service Providers**

Provide a one-page list of the key museum staff, consultants, and service providers who will be directly involved in the project.

### **Resumes of Key Project Staff, Consultants, and Service Providers**

Provide resumes of no more than two pages each for all key project staff, consultants, and service providers on this list. Resumes that exceed the two page limit will have the remaining pages removed by IMLS staff.

Note: If the key project personnel cannot not be identified by the application deadline date, then submit position descriptions instead. A position description does not identify a specific individual, but rather identifies the qualities and range of experience and education that is necessary to successfully implement project activities.

### **Letters of Commitment**

Applicants must submit a letter of commitment for each project consultant or service provider named in the List of Key Museum Staff, Consultants, and Service Providers. The letter should include confirmation that the consultant will work on the project if funded, dates of service, scope of work, and fee structure. The information in this letter must correspond to the information in the application narrative.

### **Proof of Nonprofit Status**

If the applicant organization is a private, nonprofit organization (for those who selected “Private Nonprofit” or “Other” in item 5d of the SF-424S):

- The applicant must submit a copy of the IRS letter indicating the organization’s eligibility for nonprofit status under the applicable provisions of the Internal Revenue Code of 1954, as amended.
- IMLS will not accept a letter of state sales tax exemption as proof of nonprofit status.

### **Supporting Documents for American Heritage Preservation Grant Applicants**

Supporting documents should specifically relate to the justification for the project. IMLS encourages American Heritage Preservation applicants to include visual documentation of the collection object(s) to be conserved or rehoused in order to show current state of collections . IMLS also encourages inclusion of needs assessments (formal or informal documentation used to evaluate and plan projects, such as the executive summary of CAP or PAG surveys.

*Note:* When attaching these documents give each one a specific title for clear identification. All supporting documentation should include dates of creation and authorship. Total number of attachments must not exceed 20 pages. IMLS will remove any supplemental materials above the 20-page limit. They will not be sent to reviewers as part of the application.

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## Grant Applicants

### Program Guidelines

#### American Heritage Preservation Grants -- FY 2011 Guidelines

#### Navigating the Grant Program Guidelines

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**You are currently on: Section Three: IMLS Assurances and Certification**

#### IMLS Assurances and Certifications

IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, nondiscrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" form (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. The authorized representative must review the statement and provide the certification in item 9 on the Application for Federal Domestic Assistance/Short Organizational Form (SF-424s).

#### Assurances Statement

By signing the application form, the authorized representative, on behalf of the applicant, assures and certifies that, should a grant be awarded, the applicant will comply with the statutes outlined below and all related IMLS regulations (see 45 CFR Chapter XI and 2 CFR Chapter XXXI). These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

#### Certifications Required of All Applicants

##### Financial, Administrative, and Legal Accountability

The authorized representative, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the nonfederal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The authorized representative, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 et seq.) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the provisions of applicable OMB Circulars.

**Federal Debt Status**

The authorized representative, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

**Debarment and Suspension**

The applicant shall comply with 2 C.F.R. Part 3185. The authorized representative, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant nor any of its principals:

1. are presently excluded or disqualified;
2. have been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. § 180.800(a) or had a civil judgment rendered against it or them for one of those offenses within that time period;
3. are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses listed in 2 C.F.R. § 180.800(a); or
4. have had one or more public transactions (federal, state, or local) terminated within the preceding three years for cause or default.

Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

The applicant, as a primary tier participant, is required to comply with 2 C.F.R. Part 180 Subpart C (Responsibilities of Participants Regarding Transactions Doing Business with Other Persons) as a condition of participation in the award. The applicant is also required to communicate the requirement to comply with 2 C.F.R. Part 180 Subpart C (Responsibilities of Participants Regarding Transactions Doing Business with Other Persons) to persons at the next lower tier with whom the applicant enters into covered transactions.

**Nondiscrimination**

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

1. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
2. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;
3. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–83, 1685–86), which prohibits discrimination on the basis of sex in education programs; and
4. the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

**Drug-Free Workplace**

The authorized representative, on behalf of the applicant, certifies, as a condition of the award, that the applicant will or will continue to provide a drug-free workplace by complying with the requirements in Subpart B of 45 C.F.R. Part 1186.

This includes: making a good faith effort, on a continuing basis, to maintain a drug-free workplace; publishing a drug-free workplace statement; establishing a drug-free awareness program for its employees; taking actions concerning employees who are convicted of violating drug statutes in the workplace; and identifying (either with this application or upon award, or in documents kept on file in the applicant's office) all known workplaces under the award.

[Note: IMLS Drug-Free Workplace regulations will shortly be relocated from 45 C.F.R. Part 1186 to 2 CFR.]

**Certification Regarding Lobbying Activities (Applies to Applicants Requesting Funds in Excess of \$100,000)**

The authorized representative certifies, to the best of his or her knowledge and belief, that:

- (a) no federal appropriated funds have been paid or will be paid by or on behalf of the authorized representative to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative

agreement;

(b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the authorized representative shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions; and

(c) the authorized representative shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

#### **General Certification**

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program. IMLS grant regulations may be found at 45 C.F.R. Chapter XI and 2 C.F.R. Chapter XXXI.

#### **Certifications Required of Some Applicants**

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

#### **Subcontracts**

A grantee may not make a subgrant (for more details, see 45 C.F.R. Chapter XI, Subchapter E [Institute of Museum and Library Services]). Applicants who plan to use awards to fund contracts and subcontracts should be aware that they must comply with the communication and verification requirements set forth in the above Debarment and Suspension provisions.

#### **Native American Human Remains and Associated Funerary Objects**

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

#### **Historic Properties**

The authorized representative, on behalf of the applicant, certifies that the applicant will assist the awarding agency in ensuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq.).

#### **Environmental Protections**

The authorized representative, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and E.O. 11514;
- (b) notification of violating facilities pursuant to E.O. 11738;
- (c) protection of wetlands pursuant to E.O. 11990, as amended by E.O. 12608;
- (d) evaluation of flood hazards in floodplains in accordance with E.O. 11988, as amended;
- (e) assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.);
- (f) conformity of federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531–1543).

The authorized representative, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. § 1271 et seq.), related to protecting components or potential components of the national wild and scenic rivers system.

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001

et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

**Research on Human and Animal Subjects**

The authorized representative, on behalf of the applicant, certifies that the project will comply with 45 C.F.R. Part 46 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

The authorized representative, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 et seq.) pertaining to the care, handling, and treatment of warm-blooded animals held for research, teaching, or other activities supported by this award of assistance.



For further information on these certifications, contact IMLS, 1800 M Street, NW, 9th Floor, Washington, DC 20036. Or call 202/653-IMLS (4657).

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