

Grant Applicants Program Guidelines

National Leadership Grants -- FY 2011 Guidelines

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CFDA Number 45.312

Application Deadline: February 1, 2011

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

Dear Colleagues



I am pleased to share with you the 2011 National Leadership Grant (NLG) program guidelines. The National Leadership Grant program has remained the capstone program for the Institute of Museum and Library Services for more than a dozen years, providing the agency's highest level of support for innovative projects that generate transformative research, new tools, models, services, professional practice, and alliances that advance the awarded institution as well as the field.

National Leadership Grants also allow eligible institutions and their partners to address field-wide challenges and initiatives such as IMLS's [Museums, Libraries, and 21st Century Skills](#), [Museums and Libraries Engaging America's Youth](#), and the [Future of Museums and Libraries](#). I invite you to think about these topics and imagine projects that position our institutions to take meaningful roles in our communities now and into the future.

Interested museum and libraries can apply for a Project or Collaborative Planning grant in one of the following four funding categories: Research, Demonstration, Advancing Digital Resources, and Library-Museum Collaboration.

I invite you to read these guidelines, speak with IMLS staff, and consider applying for funding. I also encourage you to contact IMLS if you are interested in becoming a peer reviewer. The expertise you bring is invaluable to us in this process, and we are always seeking new and fresh perspectives.

Sincerely,

Marsha L. Semmel
Acting Director, IMLS

Contact Information

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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: 8/31/2013
Forms: OMB No. 3137-0071; Expiration Date: 8/31/2013

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.

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, 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 continue hosting 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 public challenge seeking creative ideas for how museums and libraries can prepare their communities for the 21st century.

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

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 National Leadership Grant program involves youth, please see these publications for tips and recommendations in designing effective programs, as well as for valuable resources and a bibliography.

Youth Resources (available at 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.

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; 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 Museums for America 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.

Considering the Future of Libraries, Archives, and Museums

IMLS is committed to helping museums, archives, and libraries across the country better understand their roles as providers of public service to communities. The Future of Libraries and Museums in the 21st Century planning meeting, held in 2008 in Washington, D.C., was convened by the National Academy of Sciences and supported by IMLS to bring together voices across and outside the library and museum fields to debate, discuss, and question the future of museums and libraries and gain insight into how the conversation could unfold in subsequent discussions in the field at large. Leaders from across the disciplines in the library, archives, museum, research, scientific, technology, and education fields met to help define the central issues, challenges, and opportunities that libraries and museums are likely to face in the coming decades. That meeting spawned the 2009 IMLS publication, [The Future of Museums and Libraries: A Discussion Guide](#), and a subsequent 2010 online discussion of the central themes from that meeting (see <http://imlsupnext.wikispaces.com>). The Institute remains committed to exploration of this topic.

About the National Leadership Grant Program

National Leadership Grants support projects that have the potential to elevate museum, library, and archival practice within the context of national strategic initiatives. The Institute seeks to advance the ability of museums, libraries, and archives to preserve culture, heritage, and knowledge, contribute to building technology infrastructure and information technology services, and provide 21st century knowledge and skills to current and future generations in support of a world-class workforce.

Successful proposals will have national impact and generate results—new tools, research, models, services, practices, or alliances—that can be widely adapted or replicated to extend the benefit of federal investment and that increase community access and participation. IMLS seeks to fund projects that have the following characteristics:

- **National Impact**—Proposals should address key needs and challenges that face libraries, archives, and museums. They should expand the boundaries within which libraries, archives, and museums operate, show the potential for far-reaching impact, influence practice throughout the museum, archival, and/or library communities, and show support of current strategic initiatives in these fields.
- **Innovation**—A proposal should demonstrate a thorough understanding of current practice and knowledge about the subject matter, and show how the project will advance the state of the art of museum, library, and archival service. Innovative projects can implement a new or significantly improved product, process, program, or a new organizational strategy in museum, archival, and/or library services and practice.
- **Collaboration**—While partners are not required in all NLG categories, the Institute has found that involving carefully chosen partners with complementary competencies and resources can create powerful synergies that extend project impact. Proposals should show understanding of the challenges of collaboration and propose means for addressing them.

Types and Categories of Funding

IMLS supports two types of funding within the National Leadership Grant program:

- Project Grants
- Collaborative Planning Grants

Within each funding type are four categories of grants:

- Research
- Demonstration
- Advancing Digital Resources
- Library-Museum Collaboration

Project Grants

Categories: Research, Demonstration, Advancing Digital Resources, and Library-Museum Collaboration.

Amount of grant: \$50,000–\$1,000,000.

Grant period: Up to three years.

Cost sharing: A 1:1 cost share is required for requests of \$250,000 or more. A one-third cost share is encouraged for requests under \$250,000. *Exception:* No cost share is required for any application in the research category. However, a one-third cost share is encouraged.

A Project Grant proposal should include a needs assessment, a completely developed work plan, an appropriate research methodology if applicable, an effective communication plan for reaching targeted audiences, and a robust evaluation plan. Competitive applications describe projects that will produce programs, collections, research findings, and/or tools that will have strategic impact, demonstrate innovation, produce models for collaboration, and actively communicate project results. Applicants may apply for a Project Grant in one of the following categories:

Research

Purpose: Research grants support projects that have the potential to inform and improve museum, archival, and library practice, resource use, programs, and services. Both basic and applied research projects are encouraged. Research proposals should pose one or more questions and explain through the plan of work how the questions will be investigated, what data will be gathered and analyzed to answer the posed questions, and how the results will be evaluated and communicated to interested audiences. Proposed research methodologies must be replicable and applicants must explain what measures will be taken to ensure valid and reliable results. Successful proposals will place the proposed work within the context of current research as demonstrated by a thorough literature review. Applied research projects may include testing in a real-world environment, but must be carried out through a formal investigative methodology. Results of research should be generalizable and of broad benefit to the library or museum field. Research conducted by a collaboration between a library and a museum should be submitted under the Library-Museum Collaboration grants category.

Examples of potential projects include:

- evaluate any broadly relevant aspect of library, archive, or museum practices,
- investigate how to improve the quality, effectiveness, or efficiency of library or museum management, programs, or services,
- investigate ways to enhance the archiving, preservation, management, discovery, and use of digital assets and resources,
- investigate or conduct research to add new knowledge or make improvements in the conservation and preservation of collections,
- utilize or repurpose IMLS-provided data about libraries and/or museums to investigate areas of library-museum research,
- investigate how learning takes place in museums, archives, and libraries, and how use of library, archive, and/or museum resources enhances learning and development of 21st century skills (see the report, [Museums, Libraries, and 21st Century Skills](#)),
- conduct research to establish and/or evaluate standards and tools for innovative learning and the development of 21st century skills (see the report, [Museums, Libraries, and 21st Century Skills](#)), or
- examine current, emerging, or best practices in digital curation and digital scholarly publishing (see the report, [Advancing Research and Practice in Digital Curation and Publishing](#)).

If an electronic dataset will be created as a result of the proposed research, the applicant must complete Part III of the *Specification for Projects That Develop Digital Products* form (see www.ims.gov/applicants/forms). Part III of this form asks applicants to summarize the dataset's original purpose and scope; provide technical information about the dataset's format, structure, and content; explain what metadata will be created about the dataset and what standards and formats will be used for the metadata; list any relevant hardware, software, or other dependencies for using the data; identify a repository where the data and metadata will be archived, managed, and made accessible (if applicable); and describe the long-term preservation plan for the dataset.

Demonstration

Purpose: Demonstration projects use available knowledge to address key needs and challenges facing libraries, archives, and museums, and transform that knowledge into formal practice. Projects funded

under this category should produce replicable models, services, practices, or other resources that other institutions may use to improve their services or operations. Demonstration projects conducted by a collaboration between a library and a museum should be submitted under the Library-Museum Collaboration grants category.

Examples of potential projects include:

- demonstrate and/or test new practices in the museum, archive, and/or library field,
- demonstrate how museums, archives, and/or libraries can enhance services to their communities and contribute to local economic/workforce development, fostering public value and promoting systemic changes in the field,
- consolidate, restructure, or reorganize existing programs, services, and/or operational workflows in innovative ways through the use of technology or other creative means,
- demonstrate and/or test an expansion of collection management, preservation, and/or conservation practices,
- implement and evaluate new services, work processes, or partnerships that advance current practice in digital curation or digital scholarly publishing (see the report, [Advancing Research and Practice in Digital Curation and Publishing](#)), or
- establish and/or test standards and tools for innovative learning and development of 21st century skills (see the report, [Museums, Libraries, and 21st Century Skills](#)).

Advancing Digital Resources

Purpose: Advancing Digital Resources grants support the creation, use, presentation, and preservation of significant digital resources as well as the development of tools to enhance access, use, and management of digital assets over their entire life cycle by incorporating new technologies or new technical practice. Projects should have the potential to enhance research, teaching, formal and informal learning, and innovation by ensuring that the digital assets promote access to museum, library, and archival resources. This category encourages exploration of all types and formats of digital resources, such as digitized texts, Web-based information, video, audio, television footage, or other content. (Note: Such projects conducted by a collaboration between a library and a museum should be submitted under the Library-Museum Collaboration grants category.)

Examples of potential projects include:

- develop and disseminate new tools or services that facilitate access, presentation, management, preservation, sharing, and use of digital resources,
- increase community access to institutional resources through innovative use of existing technology-based tools and/or social networking environments,
- support collaborations to enhance online access to digital content from multiple sources, including cultural heritage institutions of all types to provide innovative opportunities for the use of museum, library, and/or archival content and materials for research, teaching, and learning,
- deploy and test new processes or tools that support the evolving practices and needs within digital curation and scholarly publishing (see the report [Advancing Research and Practice in Digital Curation and Publishing](#)), or
- leverage technology tools and digital museum, library, and/or archival resources to support or enhance the development of 21st century skills (see the report, [Museums, Libraries, and 21st Century Skills](#)).

For projects that involve the creation of new digital products such as digital collections, tools, or other digital resources, please review the additional requirements explained in the [Guidance for Projects That Develop Digital Products](#) section of these guidelines. IMLS encourages the creation of item-level metadata records that are harvestable with the Open Archives Initiative (OAI) Protocol for Metadata Harvesting for any projects that involve digitization of content.

Library-Museum Collaboration

Purpose: Library-Museum Collaboration grants are designed to create new opportunities for libraries and museums to engage in mutually beneficial partnerships to support the educational, economic, cultural, and social needs of their communities. Grant funds support innovative, collaborative projects—whether new or building on an existing project or relationship. Proposed collaborations should demonstrate the benefits to be gained by challenging existing organizational assumptions and boundaries. A partnership of at least one

eligible library entity and one eligible museum entity is required. Additional partners are encouraged, where appropriate. In addition to museums, libraries, and archives, IMLS encourages other partners (e.g., professional organizations, community organizations, public media, and philanthropic or commercial entities) that help libraries and museums to better serve their communities. The lead applicant must be an eligible library or museum entity which will serve as the financial agent if a grant is awarded. Each partner of the lead applicant must complete a [Partnership Statement](#) form.

Examples of potential projects include:

- address community educational, workforce, or other civic needs,
- provide increased services and support for underserved populations within communities,
- combine or coordinate existing programs, services, and/or operational workflows in innovative ways through the use of technology or other creative means,
- apply technology to serve audiences more effectively,
- assist in building effective local, statewide, or regional coalitions of museums, libraries, archives, and other cultural heritage organizations,
- conduct collaborative research,
- advance professional knowledge and best practices for libraries, archives, museums, and their related professional associations, or
- increase the capacity of partnering organizations to provide effective services, creative venues, and meaningful resources for learning (see the report, [Museums, Libraries, and 21st Century Skills](#)).

Collaborative Planning Grants

Collaborative Planning Grants support activities required to fully develop ideas for all categories of National Leadership Grants Project Grants (Research, Demonstration, Advancing Digital Resources, and Library-Museum Collaboration). The awards are in two levels, as described below.

Special characteristics of Collaborative Planning Grants include the following:

- Applicants are required to have at least one formal partner. All partners must complete the Partnership Statement form and be listed in section 5 of the Program Information Sheet.
- The awarding of a Collaborative Planning Grant neither guarantees nor implies future funding.
- Indirect costs cannot be applied to or requested in budgets for these grants.
- Level I applicants are not required to address the Communication Plan or Sustainability criteria.
- Level II applicants are not required to address the Sustainability criteria.

Level I

Categories: Research, Demonstration, Advancing Digital Resources, and Library-Museum Collaboration.

Amount of grant: Up to \$50,000.

Grant period: One year.

Cost sharing: Cost sharing of at least one third is encouraged.

Level I Collaborative Planning Grants support activities required to fully develop ideas for a National Leadership Grant project among project partners and should result in such products as plans, prototypes, or proofs of concept, which could lead to a single, subsequent National Leadership Grant proposal. Applicants are expected to have a basic framework (concept, team work plan, intended results) for a project that has the potential to meet the goals of the National Leadership Grant program.

Collaborative Planning Grants can support a variety of activities, including partnership meetings, literature searches, feasibility investigation, project formation, and other planning efforts. Funds may support the full range of planning components, including salaries, consultant fees, travel, meeting costs, services, and materials and supplies.

Level II

Categories: Research, Demonstration, Advancing Digital Resources, and Library-Museum Collaboration.

Amount of grant: Up to \$100,000.

Grant period: One year.

Cost sharing: Cost sharing of at least one third is encouraged.

Level II Collaborative Planning Grants support workshops, symposia, or other convenings of experts with the purpose of fostering discussion and consideration of nationally important issues to libraries, archives, and/or museums. Grant-supported meetings are expected to actively engage their intended communities and produce white papers (and potentially other publications, print or digital) to be broadly disseminated. The white paper is required to identify the national challenges and opportunities discussed at the meeting and to outline recommendations for future actions, community priorities, and/or potential research agendas. Meetings and their associated white papers should have the potential to catalyze new directions for partnerships and provide information and inspiration for multiple National Leadership Grant proposals.

Funds may support the full range of planning components, including salaries, consultant fees, travel, meeting costs, services, supplies, and the costs of development and dissemination of the final report.

Web Conferencing with Program Staff

IMLS offers opportunities to discuss your application or general issues about the National Leadership Grant program with the program staff. We do this through a Web conferencing system 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 webinar schedule is as follows:

- **Wednesday, December 15, 2010, 3:00–4:00 p.m. EST**
- **Thursday, January 13, 2011, 3:00–4:00 p.m. EST**

To join the webinar on January 13, please visit this link: <https://imls.megameeting.com/?page=guest&conid=NationalLeadershipGrants>. When signing in, we ask that you use both your first and last names, and click the *Connect* button to join the meeting.

Once you have logged into the session, on your telephone please dial 1-866-459-4770 and sign in with the access code 6502616# for audio.

If you are having issues clicking on the link above, please check to make sure either your pop-up blocker is turned off, or that it is set to temporarily allow pop-ups.

Eligibility

Eligibility for Libraries and Archives

An eligible applicant must be :

1. either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code ,
2. 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. one of the six types of organizations listed below:

- 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,¹ and private or special libraries that have been deemed eligible to participate in this program by the state in which the library is located,
- an academic or administrative unit, such as a graduate school of library and information science that is part of an institution of higher education through which it would make application,
- 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,
- 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,
- 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, or
- 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.

Eligibility for Museums

An eligible applicant must be:

1. either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code,
2. 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 museum² that, using a professional staff,³ (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,⁴
 - an organization or association that engages in activities designed to advance the well-being of museums and the museum profession,⁵ or
 - an institution of higher education, including public and nonprofit universities.

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.

1. Research libraries must be either generally recognized as possessing unique scholarly research materials and services that are made available to the public, or able to demonstrate that such is the case when submitting an application to IMLS.
2. 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.
3. 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.
4. 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).

5. A friends group associated with a single museum is not an eligible applicant.

Partnerships

Partnerships may strengthen applications submitted to this program, if they are appropriate to the project. Partnerships are not required in this program, however, except as specified in specific program subcategories such as Collaborative Planning Grants and the Library-Museum Collaboration category. An application may include one or more partners. The lead applicant in a partnership must be eligible to apply as an individual entity, and all members of a partnership should be active contributors to and beneficiaries of project activities.

The members of the partnership shall designate one member of the partnership to apply for the grant. Any group application must contain a Partnership Statement that details the activities that each member of the partnership plans to perform and binds each member of the partnership to every statement and all assurances made by the applicant in the application. The applicant shall submit the Partnership Statement with the application.

By submitting the Partnership Statement with the application, the applicant affirms that (1) the partner is available and has agreed to participate, and (2) the Partnership Statement is true, complete, and accurate to the best of the applicant's authorized representative's knowledge.

The applicant will ensure that each partner also provides a signed original version of the Partnership Statement to the applicant, and that this form will be made available to IMLS on request.

If IMLS makes a grant to a partnership, the lead applicant for the partnership is the grantee and is legally responsible for the use of all grant funds and for ensuring that the project is carried out by the partnership in accordance with the terms of the grant and all applicable federal laws, regulations, and requirements. The lead applicant must be the fiscal agent, but may subcontract with partners for other specific activities or services. Each member of the partnership is legally responsible for carrying out the activities it agrees to perform and using the funds it receives in accordance with the terms of the grant and all applicable federal laws, regulations, and requirements.

Federal Partnerships

IMLS encourages eligible institutions to partner with other Federal agencies, when appropriate to the project. However, it is important to remember that federally appropriated funds, whether they are disbursed

directly to the applicant by an agency of the federal government or indirectly through another organization do not qualify as cost share in IMLS grant applications.

Please note that (1) federal agencies may not receive IMLS funds, either directly or indirectly, and (2) federally appropriated funds provided directly or indirectly by federal agencies do not qualify as cost share under an IMLS grant. However, eligible institutions may partner with federal agencies if appropriate to the project.

International Partnerships

While IMLS does not make grants to non-U.S. libraries and museums, such entities may partner with eligible U.S. institutions on an IMLS-funded grant project. Non-U.S. libraries and museums are encouraged to participate and contribute fully to the project; such participation, however, does not count towards the eligible U.S. entity's cost share.

Application Review Process

All eligible and complete applications for a National Leadership Grant will be evaluated using 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.imls.gov/reviewers/reviewers.shtm.

Award Information

Application Deadline

The FY2011 deadline for National Leadership Grants is February 1, 2011.

Project Start and End Date

Projects may begin on October 1, November 1, or December 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 three years.

Award Amount

Project Grant award amounts are \$50,000–\$1,000,000 in all categories. Collaborative Planning Grants award amounts are up to \$50,000 for Level I, and up to \$100,000 for Level II.

Cost Sharing

A 1:1 cost share is required for requests of \$250,000 or more. A one-third cost share is encouraged for requests under \$250,000.

Exception: No cost share is required for any application in the research category. However, a one-third cost share is encouraged.

Award Announcement

No information about the status of an application will be released until the applications have been reviewed and all deliberations are concluded. IMLS expects to notify both funded and unfunded applicants of final decisions by late September 2011.

Use of Funds

Allowable expenses for National Leadership Grants include, but are not limited to, such items as:

- project personnel (contract or in-house) whose staff time is necessary for the proper and efficient execution of the project,
- project consultants ,
- project-related travel of key project staff and consultants,
- costs related to planning and maintenance of project partnerships,
- purchase of equipment, materials, supplies, or services,
- program development and implementation,
- exhibition design and fabrication,
- integration of technology into operations or programs,
- research,
- publications based on project activities,
- software development,
- evaluation to show the extent to which the project has met its goals, and
- indirect or overhead costs.

All proposed expenses must be justified in the application budget.

Expenses not allowed for National Leadership Grants include such items as:

- general fundraising costs, such as development office staff or other staff time devoted to general fundraising ,
- general operating support,
- general advertising or public relations costs designed solely to promote activities other than those related to the specific project,
- construction and renovation of facilities (generally, any activity involving contract labor in the construction trades is not an allowable cost),
- exhibit fabrication that includes creation of large-scale permanent structures for animals or objects that would involve contract labor of the construction trades (applicants with questions about the eligibility of exhibition activities should call IMLS staff immediately),
- acquisition of collections,
- contributions to endowments,
- social activities, ceremonies, receptions, or entertainment, and
- costs incurred before the official start date of an awarded grant.

Project Evaluation

IMLS expects each application budget to include specific and sufficient resources for project evaluation, and expects institutions to use interim findings to strengthen project results. An application's proposed plan for project evaluation is a significant element in competitive review. The Institute promotes outcomes-based planning and evaluation as one important way for museums and libraries to measure results. For projects that intend to effect changes in behavior or knowledge, whether for professional peers or end users, applicants should identify their specific audiences and say how the project will objectively and concretely measure outcomes.

In cooperation with Indiana University–Purdue University Indianapolis (IUPUI), the Institute has supported *Shaping Outcomes*, an online course on outcomes-based planning and evaluation (OBPE), which can help applicants improve program design and evaluation. Available at www.shapingoutcomes.org, this resource

- provides an online curriculum in OBPE,
- is designed for library and museum professionals as well as students in these fields,
- teaches the concepts and vocabulary of OBPE, and
- helps participants develop the skills necessary for producing a logic model using OBPE.

At the end of the project all grantees are required to submit a final performance report that documents

project goals and project results, 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.

All applicants are expected to include the costs for evaluation, reporting, and dissemination in their project budgets. Associated costs may be for consultants or staff, development of instruments, information collection, and analysis. Any of these may be budgeted as direct costs or cost share.

Applicants should include information in the application narrative that demonstrates that the project plan and evaluation design will enable the grantee to provide the data and analysis necessary to meet the requirements of the final report. See the final report form at www.ims.gov/docs/rptInstructions.doc and a glossary of key reporting terms at 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 three copies of any products produced with IMLS funds to IMLS with the final reports.

Sharing of Results

Wide dissemination of the results of IMLS-funded projects advances the body of knowledge and professional practice regarding museum, library, and information services. For this reason, IMLS encourages creators of works resulting from IMLS funding to share their work whenever possible through forums such as institutional or disciplinary repositories, open-access journals, or other media.

Guidance for Projects That Develop Digital Products

Projects that involve the creation of new digital products such as digital collections, tools, or other digital resources must provide in the proposal narrative a detailed explanation of the need, intended uses, and audiences for these digital products. The proposal must also include a detailed work plan related to creating the digital products, and applicants must complete and submit with the application the form *Specifications for Projects That Develop Digital Products*. This form, as well as a list of potentially useful resources, projects, and standards is available on the IMLS Web site at www.ims.gov/applicants/forms.

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Grant Applicants

Program Guidelines

National Leadership Grants -- FY 2011 Guidelines

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Preparing and Submitting an Application

Grants.Gov information and instructions

PLEASE REVIEW THESE GUIDELINES AND THE GRANTS.GOV REQUIREMENTS CAREFULLY. IMLS MAKES GRANTS ONLY TO ELIGIBLE APPLICANTS THAT SUBMIT COMPLETE APPLICATIONS, INCLUDING ATTACHMENTS, ON OR BEFORE THE DEADLINE.

Organizations that are applying under the February 1, 2011, deadline for the National Leadership 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 February 1, 2011. The deadline date remains the same from year to year.

While the deadline is February 1, 2011, IMLS recommends strongly that applicants REGISTER EARLY and COMPLETE AND SUBMIT THE APPLICATION EARLY. All applicants who are using Grants.gov must register with Grants.gov before submitting the 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

Get Registered: www.grants.gov/applicants/get_registered.jsp

Apply for Grants: www.grants.gov/applicants/apply_for_grants.jsp

**Use one of the following identifiers to locate the
National Leadership Grant package:**

CFDA No: 45. 312

Funding Opportunity Number: NLG-FY11

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

Help is available on the Grants.gov Web site at www.grants.gov/help/help.jsp.

For direct assistance with Grants.gov, contact the Grants.gov help desk via e-mail at support@grants.gov, or call Grants.gov at 1-800-518-4726. 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.

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.

Tips for Working Successfully with Grants.gov:

- Start early! Go to www.grants.gov/applicants/get_registered.jsp to register. Utilize Grants.gov resources at 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. 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.
 - Convert your documents into PDFs, using one of the tools available here: www.grants.gov/help/download_software.jsp#pdf_conversion_programs
 - 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
- Contact Grants.gov help (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 National Leadership Grant 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 form:** 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](#). 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
http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs

Application Component Naming

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 example file names shown in the table that follows. Note: IMLS will not convert files for applicants and will not accept file formats other than PDF. Also, please do not send secured or encrypted 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 table that follows lists the format required for each component, and the naming convention for application components. **The SF- 424s and the Abstract are Grants.gov forms that will automatically be saved as PDFs.**

Applicants may use the table of components below as a checklist to ensure that they have created and attached all the documents that may be necessary for a complete application. We suggest assembling and uploading your documents in the suggested sequence to assist you in confirming the inclusion of all required materials.

Application Components

Component	Format	File name to use
Application for Federal Assistance/Short Organizational Form SF-424S	Grants.gov form	n/a
Abstract (to be uploaded through Grants.gov)	Text document that you create	n/a
Program Information Sheet	IMLS PDF form	Programinfo.pdf
Organizational Profile	PDF document	Organizationalprofile.pdf
Narrative	PDF document	Narrative.pdf
Schedule of Completion	PDF document	Scheduleofcompletion.pdf
Detailed Budget form (by year, as appropriate)	IMLS PDF form	Detailedbudgetyear1.pdf Detailedbudgetyear2.pdf Detailedbudgetyear3.pdf
Summary Budget form	IMLS PDF form	Summarybudget.pdf
Federally negotiated Indirect cost rate form (if applicable)	PDF document	Indirectcostrate.pdf
Budget Justification	PDF document	Budgetjustification.pdf
List of key project staff and consultants	PDF document	Projectstaff.pdf
Resumes of key project staff and consultants (2 pages each, max)	PDF document	Resumes.pdf
Partnership Statement (if applicable)	IMLS PDF form	Partners.pdf
Proof of nonprofit status (if applicable)	PDF document	Proofnonprofit.pdf
Specifications for Projects that Develop Digital Products form (if applicable)	IMLS PDF form	Digitalproducts.pdf
Supporting documentation (if applicable)	PDF Document	Supportingdoc1.pdf Supportingdoc2.pdf Supportingdoc3.pdf Etc.

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

Note: Items 1-4 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 [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, item 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.

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 National Leadership 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 D-U-N-S® 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.

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 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](#)

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 (see "IMLS Assurances and Certification "). 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 on 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.

Abstract

A project abstract that does not exceed one single-spaced page must be provided. Insert the text(that you create)into the Abstract form provided in the package downloaded from Grants.gov.

Information in the abstract should cover the following areas as related to the proposed project:

- Who is the lead applicant and, if applicable, who are the formal partners?
- What is the time frame for the project?
- Who is the intended audience for the activities?
- What will be the specific project activities, outcomes, and tangible products?
- What are the intended outcomes for audience members in terms of measurable changes in knowledge, skills, attitudes, or behavior?

This abstract may be used by IMLS for public information purposes, so it should be informative to other persons working in the same or related fields and insofar as possible understandable to a technically literate lay reader. The abstract must not include any proprietary or confidential information.

Program Information Sheet

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 the appropriate designations listed under “i. National Leadership Grants .”

- Select the appropriate funding office:
 - Museum
 - Library
- Select the type of funding:
 - Project Grant
 - Collaborative Planning Grant, Level I
 - Collaborative Planning Grant, Level II
- Select the grant category:
 - Research
 - Demonstration
 - Advancing Digital Resources
 - Library-Museum Collaboration

3. Request Information

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

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

4. Museum Profile (Museum Applicants Only)

Museum applicants must answer all questions in this section.

Note: If an applicant indicates a budget surplus or deficit for one or both of the two previous fiscal years on the Program Information Sheet, an explanation should be provided in the application narrative, section 3: Project Resources. This explanation is intended to assist reviewers in evaluating the financial capacity of the applicant to complete the project activities.

5. Partner Names

In the space provided list all organizations that are official partners of the project. Note: Each partner listed in this section is also required to complete and submit a Partnership Statement form to the lead applicant for submission with the application

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Applicants for National Leadership Grants should skip these sections.

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 ten single-spaced, sequentially numbered pages. The applicant’s name must appear at the top of each page. Narratives that exceed the ten-page limit will have any additional pages removed by IMLS staff.

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 “Optional Attachments” to provide supporting documentation.

The following pages provide guidance on preparing the narrative component of the National Leadership Grant application. There are six sections to the narrative:

1. Assessment of Need
2. National Impact and Intended Results
3. Project Design and Evaluation Plan
4. Project Resources: Budget, Personnel, and Management
5. Communication Plan (not required for Planning Level I)
6. Sustainability (not required for Planning Levels I and II)

Applicants must address each section and related review criteria separately, and in the order in which they are listed above. Review criteria differ between Project Grants and Collaborative Planning Grants and are listed below for these two grant types. 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.

Project Grants

General Review Criteria

National Leadership Grants are intended for projects that are innovative and even risk taking. They are not intended to support basic operational needs or incremental improvements. Successful National Leadership Grant proposals result from careful planning, including identification of a problem and its target audience, assessment of potential solutions, development of a proposed approach, gathering of key people and resources to test or demonstrate proposed solutions, and a plan to evaluate results. Partnerships among institutions to achieve a broader vision and leverage resources are encouraged in all categories to maximize the impact of federal funding.

Successful proposals demonstrate a clear sense of how projects benefit their communities and contribute to the advancement of the library, museum, and/or archives fields. The most competitive projects provide creative solutions to significant problems and develop models or practices for other organizations to adapt or emulate to extend the benefit of federal support. Innovation will be evaluated on three criteria:

- the degree that the project activities carry out more than incremental change,
- the degree of a project’s potential impact on services, programs, and/or library, archive, and/or museum professional practices, and
- the degree the project results from and reflects a positive shift in underlying professional assumptions, beliefs, and/or practices.

An idea need not be entirely new to demonstrate innovation. The best proposals may improve on or extend previous work in a significant way. Successful proposals will explain how a proposed project builds on an existing base of knowledge, including previous projects and/or published literature, and how results will benefit the professional community as well as the public. Institutions of all sizes and types are encouraged to develop projects that meet the specific needs of their counterparts across the country.

Narrative Sections and Review Criteria

1. Assessment of Need

Describe the project’s intended audience and the audience needs that the project serves. Discuss how the project will benefit this audience either through direct service or through increased knowledge. Explain who will be able to use the model created by this project.

Review Criteria:

- Evidence that the applicant has identified an audience, performed a formal or informal assessment of its needs, is aware of similar projects completed by other institutions, and has developed the project and its goals as the best solution to answer those needs.
- Research proposals should frame the project in the context of current research and explain what

this project will contribute to the library, museum, and/or archive fields.

2. National Impact and Intended Results

Describe how the project innovatively addresses current issues that concern the library, archive, and/or museum fields and will have a lasting impact on the field(s). Describe how the significance of results will be determined.

Review Criteria:

- Degree to which the project reflects an understanding of current issues related to library, archive, and/or museum services, creatively addresses issues facing museums and/or libraries of similar size or discipline, and envisions change in the field that could result from the project.
- Degree to which the project is likely to have a far-reaching impact through results or products that serve multiple institutions and constituencies, or evidence that the project is of sufficient scope to effect systemic change within and across organizations.
- Evidence that the project will create, implement, and document workable models that have the potential for successful, widespread adaptation where appropriate, or will produce far-reaching results.
- Degree to which project processes or outcomes have potential applications in other settings and are made available so that others may adapt them for their own use.
- Degree to which potential benefits of the project outweigh its potential risks.
- For projects that involve building digital collections, software, or other technology products, in addition to the above criteria, evidence that the project demonstrates interoperability and accessibility in its broadest context and potential for integration into larger-scale initiatives.
- For research projects, evidence that the results will be generalizable and useful to the library, archive, and/or museum communities.

3. Project Design and Evaluation Plan

Describe the scope of the project, project goals and activities, the planning process, specifics of project implementation, and the expected results. If the project is a partnership, describe how it will be managed.

Describe the design, integration, and implementation of an assessment method that will measure project outputs, outcomes, findings, and products. Include a description of evaluation measures and indicators of success. Describe how the evaluation plan is an integral part of the project design.

Review Criteria:

- the project proposes efficient, effective, and reasonable approaches to accomplish its clear goals and objectives.
- the methodology and design are appropriate to the scope of the project.
- the project uses existing or emerging standards or best practices.
- the evaluation plan ties directly to project goals through measurable project outcomes, findings, or products.
- project evaluation will provide reliable information on which to judge impact or base actions.

For research projects:

- the research question is concise and clear.
- the research methodology is thoroughly explained and includes how the questions will be investigated, how data will be gathered and analyzed, how results will be evaluated, and why a particular methodology is the appropriate one for the research activity.
- research results are likely to be valid, reliable, replicable, and generalizable.

4. Project Resources: Budget, Personnel, and Management

Describe institutional responsibilities for the project's implementation and management. Describe personnel who will complete project activities, and discuss their qualifications and commitment to the project activities, particularly if they have other ongoing duties. Discuss the budget allocated to accomplish project activities, including cost sharing. If the project includes a partnership, discuss contributions to and benefits from the project for both the applicant and partner organizations, and explain how information will be shared and decisions will be made.

For museum applicants, if an applicant indicates a budget surplus or deficit for the two previous fiscal years on the Program Information Sheet, an explanation should be provided. This explanation is intended to assist reviewers in evaluating the financial capacity of the applicant to complete the project activities.

Review Criteria:

- A clear description of how the applicant will effectively complete the project activities through the deployment and management of resources including money, facilities, equipment, and supplies.
- A cost-efficient, complete, and accurate budget that uses appropriate resources to fulfill any cost-sharing requirement.
- Evidence that project personnel demonstrate appropriate experience and expertise and will commit adequate time to accomplish project goals and activities.
- If the project includes a partnership, evidence that all partners are active contributors to and beneficiaries of the partnership activities.

5. Communication Plan

Project proposals should discuss the variety of media and other means the project will use to reach library, archive, museum, and other audiences that might benefit from its work. Describe how new products and services will reach the audiences described in the first criterion above, Assessment of Need. If developing software or other technology tools, describe how these will be made available to the public for reuse and implementation.

Communication media could include, but are not limited to, webcasts, podcasts, e-mailings, press releases, conference presentations, publications, Web sites, project blogs, and community outlets. Multiple and interactive dissemination methods that extend throughout the life of the project, from initial funding through final evaluation, are desirable. See www.ims.gov/recipients/communication.shtm for ideas.

Review Criteria:

- Extent to which the results, products, models, findings, processes, and benefits of this project will be made transparent and accessible through effective communication channels to the museum, library, and/or archive fields, and to other professional organizations and communities, as appropriate.
- Extent to which communities described in the needs assessment section will benefit.

6. Sustainability

Describe how the applicant will continue to support the project or its results and/or the new model beyond the grant period.

Review Criteria:

- Extent to which the project's benefits will continue beyond the grant period, either through ongoing institutional support of project activities or products, Web sites, and development of institutional expertise and capacity, or through broad long-term access to project products.
- Extent to which the project will lead to systemic change within the institution as well as within the museum, archive, and/or library fields.
- For projects that produce digitized collections, software, information systems, and other technology tools, in addition to the above criteria, the extent that project plans address activities to preserve and sustain the resulting digital products. For more information, [please refer to the digital preservation resources](#). Proposals should identify who will own copyright on the digital products and describe any restrictions placed on collection or product use during and after the grant period. Plans for preservation and maintenance of collections or other products during and after the expiration of the grant period also should be described.
- For research projects, the extent to which project findings, reports, and other research products are made broadly available to the library, archive, and/or museum communities, and enter into the knowledge base of the library, archive, and/or museum fields.

Collaborative Planning Grants, Level I and Level II

Collaborative Planning Grants support activities required to fully develop ideas for all categories of National Leadership Grant project grants (Research, Demonstration, Advancing Digital Resources, and Library-Museum Collaboration). The awards are in two levels, [as described previously](#).

Collaborative Planning Grants can support such activities as exploration of a problem or challenge in the field, conducting full needs assessments, testing of approaches, gathering of key people, assessment of potential solutions, development of a proposed approach and project plan, and building consensus on field priorities and research agendas.

Narrative Sections and Review Criteria

1. Assessment of Need

Degree to which a need among a target audience is understood or will become better understood through planning.

2. National Impact and Intended Results

Degree to which the project being planned or the topic being studied has the potential to have a significant impact on current issues in the field.

3. Project Design and Evaluation Plan

Degree to which the planning tasks are likely to result in clearly articulated goals and objectives for the planned project.

Evidence of an effective planning process that appropriately involves all partners.

4. Project Resources: Budget, Personnel, and Management

Degree to which the budget, personnel, and management are sufficient to accomplish the specified planning tasks.

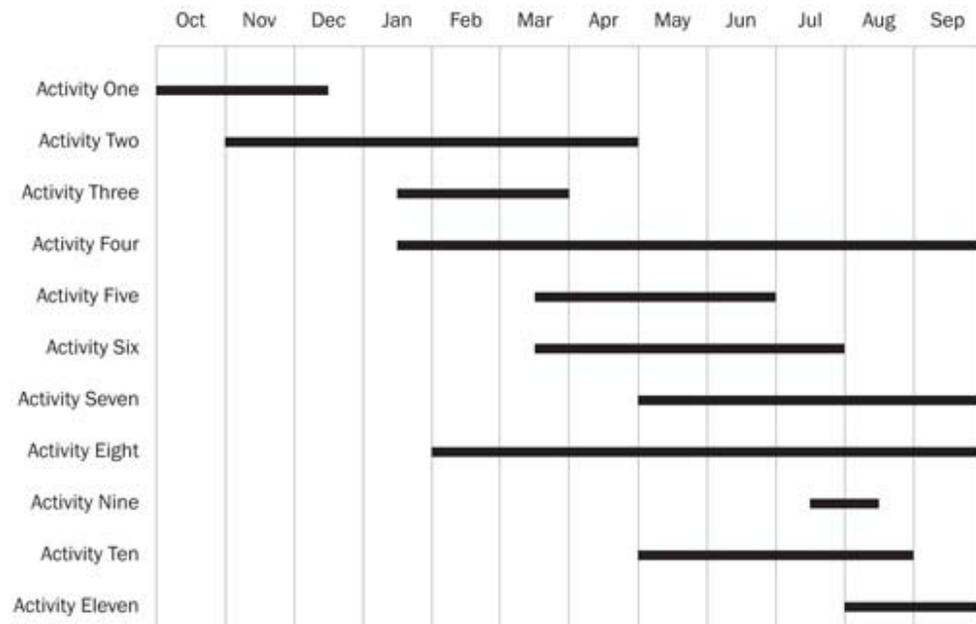
5. Communication Plan (for Collaborative Planning Grant Level II only)

Degree to which workshops, symposia, or other convenings' process, results, and white paper will be made transparent and accessible through effective communication channels in the museum, library, and archive fields, and in other professional organizations and communities, where appropriate.

Note: Collaborative Planning Grant Level I applicants do not need to address the Communication Plan and Sustainability criteria. Collaborative Planning Grant Level II applicants do not need to address the Sustainability criterion.

Schedule of Completion

The applicant must provide a Schedule of Completion that shows when each major project task will be undertaken and marks the milestones for each grant activity . 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 the 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
- Summary Budget
- 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 twelve months later. If the project timeline exceeds one year, the subsequent twelve-month period(s) must be shown on separate Detailed Budget Forms. (Note: If the project timeline exceeds any number of months beyond a twelve-month period, an additional Detailed Budget Form is required for the subsequent months. No more than twelve 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 in accordance with the IMLS General Terms and Conditions for IMLS Discretionary Grants (see www.imls.gov/pdf/GTC_0410.pdf).
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. Include a complete itemization of these costs as part of the Budget Justification. If there is more than one contractor, list the cost of each contract separately on the Detailed Budget form and include all itemizations in the Budget Justification.
7. **Student Support:** Skip this section. It does not apply to National Leadership Grants .
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 explained in the Budget Justification.
9. **Total Direct Costs:** Add the subtotal amounts from the previous sections.
10. **Indirect Costs:** Indirect costs are project costs that an organization incurs that cannot be easily assigned to an individual project. They are also called "overhead" or "administrative costs." Examples of indirect cost –type items are charges for utilities, insurance, use of office space and

equipment owned by the applicant, local telephone service, and the salaries of the management and administrative personnel of the organization.

11. **Total Project Costs:** Complete the first line; ignore the second line, which is specific to another IMLS grant program.

Use of Indirect Cost Rates

If an organization applying for an IMLS grant already has an existing negotiated indirect cost rate in effect with another federal agency, this rate may be used to calculate total project costs, as long as the rate is applied in accordance with the terms of the negotiated agreement, and a copy of the negotiated agreement is included as supporting documentation with the IMLS application. IMLS will not accept an indirect cost rate that is scheduled to expire before an award is issued.

If an organization is in the process of negotiating an indirect cost rate with another federal agency, the proposed indirect cost rate may be used to estimate total project costs, as long as the proposed rate is applied in accordance with the terms of the proposed agreement, and a copy of the indirect cost proposal is included as supporting documentation with the IMLS application. In such situations, if a grant is awarded, IMLS will not pay any indirect costs until a final indirect cost rate is negotiated with another agency, and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. It is possible that the amount of the IMLS award will be reduced if the final negotiated rate is less than the rate that was used for budget estimates in the application budget. However, the amount of the IMLS award will not be increased if the final negotiated indirect cost rate is higher than the rate that was used for budget estimates in the application budget.

An organization with an existing negotiated agreement or an organization currently in the process of negotiating a rate agreement with another federal agency must calculate total project costs using an indirect cost rate appropriate to the type of proposed project activity. For example, an organization may only calculate total project costs using an existing negotiated rate for research activity if the activity proposed to IMLS is a research project. Once an indirect cost rate is accepted by IMLS, this rate shall be considered fixed for the duration of the award even if, during the course of the award, the grantee negotiates a new indirect cost rate.

Organizations that do not have a negotiated indirect cost rate in effect with any federal agency, and do not wish to negotiate one, may use an indirect cost rate of up to 15 percent to calculate total project costs. If an applicant chooses to use this rate, it must be careful to exclude from the budget all indirect-cost type items (administrative) such as but not limited to general telephone, postage, office supplies, and office space expenses. The 15 percent rate **may not be applied to more than the first \$5,000 of distorting costs** such as equipment purchases and contracts (including those with project partners).

IMLS will pay indirect cost rates only on that portion of total direct costs that the applicant is requesting to be supported by IMLS funds. However, an applicant may also apply an appropriate indirect cost rate to the cost share portion of a project's total direct costs, and use this as part of the calculated cost sharing in the project budget.

The cost of student scholarships, fellowships, other stipends, and/or tuition may not be included in the amount on which indirect costs are requested.

Indirect costs cannot be applied to Collaborative Planning Grants.

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 budget 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 form 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 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 involved directly in the project. In deciding which people or service providers to include, if they appear in the budget or are specifically mentioned by name on a Partnership Statement form, they should be listed.

Resumes for List 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.

Partnership Statement

Complete a Partnership Statement form for each formal partner involved in the proposed project and listed under section 5 of the Program Information Sheet. Partnership Statement forms are required for all Collaborative Planning Grants and Library-Museum Collaboration Grants.

Applicants should save each Partnership Statement with a distinct file name that includes the word "Partner" and a short form of the partner's name (e.g., PartnerName1.pdf, PartnerName2.pdf). Then add each document to the Attachments form, following the sequence in the [Application Component](#) table.

At the top of the Partnership Statement form, enter the legal name of the applicant organization. This information should match that provided on the SF- 424s and the Program Information Sheet.

1–5 (if applicable)

Provide all of the information requested for the partner organization. If the partner organization does not have a D-U-N-S® Number, refer the partner to [information and instructions](#) on how to secure one. To obtain a full Zip+4 postal code, visit www.usps.com/zip4.

6. Governing Control of Partner

Check one box to indicate the partner's governing control.

7–9

Provide the information requested for each of these items. The limits on the amount of text allowed are given in the item statement on the form. The applicant must ensure that each partner also provides a signed original version of the Partnership Statement form to the applicant, and that the applicant will make this form available to IMLS if requested by IMLS.

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.

Specifications for Projects that Develop Digital Products

This form, instructions for completing the form, and a list of useful related resources are downloadable [from the IMLS Web site](#). Once completed, this form should be saved as a PDF and added to other application documents to be submitted through Grants.gov.

Supporting Documents for National Leadership Grant Applicants

Supporting documents should specifically relate to the justification for the project. IMLS encourages applicants to include only information that will supplement the narrative and support the information provided in the application. Applicants should not use attachments to answer narrative questions. IMLS strongly encourages inclusion of needs assessments , digitization plans, letters of support, reports from planning activities , or other documents for the evaluation of the proposal. Where possible, within the application narrative, applicants may provide Web links to relevant online materials.

Note: When attaching these documents give each one a specific title for clear identification. All supporting documentation should include dates of creation and authorship.

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Grant Applicants

Program Guidelines

National Leadership Grants -- FY 2011 Guidelines

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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 C.F.R. Chapter XI and 2 C.F.R. 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 U.S. 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 2 C.F.R. part 3186 (Requirements for Drug-Free Workplace [Financial Assistance]). In particular, you as the recipient must comply with drug-free workplace requirements in subpart B (or subpart C, if the recipient is an individual) of 2 C.F.R. part 3186, which adopts the government-wide implementation (2 C.F.R. part 182) of sec. 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701-707).

This includes, but is not limited to: 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 your employees; taking actions concerning employees who are convicted of violating drug statutes in the workplace; and identifying (either at the time of application or upon award, or in documents you keep on file in your offices) all known workplaces under your Federal awards.

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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