



INSTITUTE of
Museum and Library
SERVICES

2010

National Leadership Grants

Grant Program Guidelines
CFDA No. 45.312

Application Deadline: February 1, 2010

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

FOR MORE INFORMATION, CALL OR WRITE:

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IMLS will provide visually impaired or learning-disabled persons with an audio recording of this publication or any other grant publication upon request.

Office of Management and Budget Clearance Numbers

Guidelines: OMB No. 3137-0029; Expiration Date 7/31/2010.

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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,

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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, 1 hour for the Specifications for Projects that Develop Digital Products form, 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.

DEAR COLLEAGUES

I am pleased to present the 2010 guidelines for National Leadership Grants. Now in its twelfth year, the National Leadership Grants program has remained the capstone program for the Institute of Museum and Library Services, providing the agency's highest level of support for innovative projects that generate transformative research, new tools, models, services, programs, professional practices, and alliances that positively affect the awarded institution and the nation.

This year, we are encouraging our communities to review the IMLS report, *Museums, Libraries, and 21st Century Skills* (www.imls.gov/pdf/21stCenturySkills.pdf) and respond with innovative solutions that demonstrate the critical role our nation's museums and libraries play in helping citizens build such 21st century skills as information, communications, and technology literacy; critical thinking; problem solving; creativity; civic literacy; and global awareness.

Interested museums and libraries can apply for a Project or Collaborative Planning grant in one of the following four funding categories: Advancing Digital Resources, Research, Demonstration, and Library-Museum Collaboration. These categories support the agency's focus on public service, conservation, preservation, digital innovation, and encouraging partnerships.

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,

A handwritten signature in blue ink that reads "Anne-Imelda M. Radice". The signature is written in a cursive, flowing style.

Anne-Imelda M. Radice, PhD
Director

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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 122,000 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, 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.

Libraries and museums 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 libraries and museums 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 libraries and museums 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 enable the Institute of Museum and Library Services to make a significant contribution to library, museum, and information policy and practice in the United States.

ABOUT THE NATIONAL LEADERSHIP GRANTS PROGRAM

National Leadership Grants support projects that have the potential to elevate museum, archival, and library practice within the context of national strategic initiatives. The Institute seeks to advance the ability of museums, archives, and libraries to preserve culture, heritage, and knowledge, contribute to building 21st century technology infrastructure and information technology services, and support the education of the next generation with 21st century knowledge and skills while creating 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. IMLS seeks to fund projects that have the following characteristics:

- **Strategic 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 overarching national strategic initiatives and grand challenges.
- **Innovation**—Proposals should demonstrate a thorough understanding of current practice and knowledge about the project area and show how the project will advance the state of the art of museum and library service. Innovative projects can implement a new or significantly improved product, process, program, or a new organizational strategy in museum 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.

Collaborative planning grants are also available to enable project teams from more than one institution to work together to plan a project for a National Leadership Grant.

Conference Calls with IMLS National Leadership Grants Staff

IMLS offers an opportunity to discuss application or general issues about the National Leadership Grants program with the program staff. We do this through a conference call. We invite anyone to join the call to listen to the comments of IMLS program staff and those of other callers, as well as ask any questions you might have. The expected conference call schedule is:

- Wednesday, November 18 at 1:00 pm ET
- Tuesday, December 8th at 2:00 pm ET
- Thursday, January 7th, 2:00 pm ET

Please check the IMLS Web site (www.imls.gov) for details and the toll-free conference call number.

INSTITUTIONAL ELIGIBILITY

Eligibility for Libraries

An eligible applicant must be:

- either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
- located in one of the fifty states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
- one of the six types of organizations listed below:
 1. A library or a parent organization, such as a school district, a municipality, a state agency, or an academic institution, that is responsible for the administration of a library. Eligible libraries include public libraries, elementary and secondary school libraries, college and university libraries, research libraries and archives that are not an integral part of an institution of higher education and that make publicly available library services and materials that are suitable for scholarly research and not otherwise available,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.
 2. 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.
 3. A digital library, if it makes library materials publicly available and provides library services, including selection, organization, description, reference, and preservation, under the supervision of at least one permanent professional staff librarian.
 4. A library agency that is an official agency of a state or other unit of government and is charged by the law governing it with the extension and development of public library services within its jurisdiction.
 5. A library consortium that is a local, statewide, regional, interstate, or international cooperative association of library entities that provides for the systematic and effective coordination of the resources of eligible libraries, as defined above, and information centers that work to improve the services delivered to the clientele of these libraries.
 6. A library association that exists on a permanent basis, serves libraries or library professionals on a national, regional, state, or local level, and engages in activities designed to advance the well-being of libraries and the library profession.

Eligibility for Museums

An applicant must be either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code; be located in one of the fifty states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana

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.

Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and qualify as one of the following three types of organizations:

1. A museum² that, using a professional staff,³
 - is organized on a permanent basis for essentially educational or aesthetic purposes;
 - owns or uses tangible objects, either animate or inanimate;
 - cares for these objects; and
 - exhibits these objects to the general public on a regular basis through facilities that it owns or operates.⁴
2. An organization or association that engages in activities designed to advance the well-being of museums and the museum profession.⁵
3. 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, and the parent organization may submit a single application for one or more of its museums.

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, see 45 C.F.R. Chapter XI, Subchapter E (Institute of Museum and Library Services).

⁵ For example, a friends group associated with a single museum is not an eligible applicant.

TYPES AND CATEGORIES OF FUNDING

IMLS supports two types of funding within the National Leadership Grants program: **Project Grants** and **Collaborative Planning Grants**. Within each funding type are four categories of grants: (1) Advancing Digital Resources, (2) Research, (3) Demonstration, and (4) Library-Museum Collaboration. Specific details and requirements of each category are outlined below.

Project Grants

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

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

Grant period: Up to three years.

Cost sharing: For requests below \$250,000, cost sharing of at least one third is encouraged. For requests at or above \$250,000 a one-to-one cost share from nonfederal sources is required. Research grants do not require cost share.

Proposal should describe projects with thorough needs assessments, completely developed work plan activities, targeted dissemination plans, appropriate research methodologies, if applicable, and robust assessment plans. 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 disseminate project results (see goals on p. 8).

Project Grant awards are scheduled to be announced in late September 2010.

Applicants may apply for a Project Grant in one of the following categories:

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, 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, from digitized text and content on the Web to digital content through video, audio, and television footage.

Proposed projects may:

- 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 in order to provide innovative opportunities for the use of museum, library, and/or archival content and materials for research, teaching, and learning; 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*, www.imls.gov/pdf/21stCenturySkills.pdf).

IMLS encourages digitization projects with item-level metadata that are harvestable with the Open Archives Initiative (OAI) Protocol for Metadata Harvesting.

Research

Purpose: Research grants support projects that have the potential to improve museum, archival, and library practice, resource use, programs, and services. Both basic and applied research projects are encouraged. Research proposals should pose a question and explain through the plan of work how the question will be investigated, how the data will be gathered and analyzed, and how the results will be evaluated and disseminated. Methodologies must be replicable and results valid and predictable. 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 an investigative methodology. Results of research must 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

Potential projects may:

- evaluate any aspect of library, archives, or museum services, including cost/benefit studies, the impact of information and communication technologies on the delivery and use of library and museum services, especially with regard to free versus fee-based and onsite versus remote online access to services and resources, and changing public expectations and behaviors;
- 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*, www.ims.gov/pdf/21stCenturySkills.pdf);
- 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 (see the IMLS site for information about access to data sets, www.ims.gov); or
- 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*, www.ims.gov/pdf/21stCenturySkills.pdf).

Demonstration

Purpose: Demonstration projects use available knowledge to address key needs and challenges facing libraries and museums, transforming that knowledge into formal practice. Projects funded under this category should produce a replicable model or practice usable by other institutions for improving services and performance.

Proposed projects may:

- demonstrate and/or test new practices in 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;
- 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*, www.ims.gov/pdf/21stCenturySkills.pdf); or
- demonstrate and/or test an expansion of collection management, preservation, and/or conservation practices.

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., associated professional organizations, such as community organizations, public media, and other institutions and agencies) 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.

Proposed projects may:

- address community educational, workforce, or other civic needs;
- provide increased services and support for underserved populations within communities;
- 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*, www.ims.gov/pdf/21stCenturySkills.pdf);
- 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; or
- advance professional knowledge and best practices for libraries, archives, museums, and their related professional associations.

Collaborative Planning Grants

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

Applicants are required to designate the appropriate funding type and funding category on their Program Information Sheet.

Applicants **are required** to have at least one formal partner. All partners must complete the Partnership Statement form and be listed in section five of the Program Information Sheet.

The awarding of a Collaborative Planning Grant neither guarantees nor implies future funding.

Indirect costs cannot be applied to these grants.

All Collaborative Planning Grant awards will be announced in late July 2010.

Level I

Categories: Advancing Digital Resources, Research, Demonstration, and Library-Museum Collaboration (see descriptions of these categories on pp. 11-13).

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

Grant period: Up to 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 Grants program (see p. 8).

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.

Applicants for Level I Collaborative Planning Grants must follow the National Leadership Grants application instructions (see pp. 29-50), but are not required to address the Dissemination or Sustainability criteria.

Level II

Categories: Advancing Digital Resources, Research, Demonstration, and Library-Museum Collaboration (see descriptions of these categories on pp. 11-13).

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

Grant period: Up to 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 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.

Applicants for Level II Collaborative Planning Grants must follow the National Leadership Grants application instructions (see pp. 29-50), but are not required to address the Sustainability criterion.

PARTNERSHIPS

While partnerships are not required in all National Leadership Grant categories, the Institute has found that involving carefully chosen partners with complementary competencies and resources can create powerful synergies that extend project impact. When appropriate and meaningful, partnerships stimulate a broader community perspective and extend the impact of libraries, archives, and museums by leveraging the resources and efforts of all partners.

The members of the partnership shall either designate one member of the partnership to apply for the grant, or establish a separate, eligible legal entity comprising the partnership members to apply for the grant. The lead applicant serves as the fiscal agent for the project and must be an eligible entity.

Each partner must complete a Partnership Statement form and be listed in section five of the Program Information Sheet. The Partnership Statement should describe the activities each partner organization plans to perform and the benefits they expect to receive from participating in the project. The Partnership Statement binds each member of the partnership to every statement and all assurances made by the applicant in the application.

By submitting the Partnership Statement form with the application, the applicant affirms that (1) each 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.

Partnerships are encouraged for all National Leadership Grant categories, but they are **required** for Library-Museum Collaboration Grants and both levels of Collaborative Planning Grants. Please review the IMLS report, *Partnerships for a Nation of Learners: Joining Forces, Creating Value* (www.imls.gov/pdf/PNLReport.pdf) for examples and best practices.

Library-Museum Collaboration Grants

The partnership must include both an eligible library entity and an eligible museum entity. Additional partners may include community organizations, public broadcasters, private sector organizations, and other institutions and agencies whose efforts may help to enhance library or museum services. A library and museum under the control of one parent multipurpose organization may apply in partnership, so long as each applicant has independent administrative authority and a separately developed operating budget within the larger budget of the parent organization. For example, a library and a museum both owned and operated by a city government, but having separate facilities, separate staffs, and autonomous operations, are

eligible to apply as a partnership. However, neither a library that has an exhibition function nor a museum with a library function constitutes an eligible partnership.

Collaborative Planning Grants: Levels I & II

The required partnership must include at least two institutions, one of which must be an eligible library entity or an eligible museum entity.

APPLICATION TIPS

To Make Your Application More Competitive:

- Start with a good idea! Identify the problem you are trying to solve and a potential solution that grant funding would support. Remember that competitive programs are often very competitive. In general, projects that benefit more than one institution and reach a broad audience will be the most competitive.
- Match your idea with the appropriate funder and program—contact the program officer to find out if your idea matches the goals of the program.
- Read the program guidelines carefully and note all instructions and deadlines. It takes time to develop a good proposal and a good project, so give yourself plenty of it.
- Assemble your project team, including external partners—your team will be your most important asset.
- Meet to discuss all aspects of the project and all of the program evaluation criteria—identify assets, weaknesses, and potential allies. Ask questions: Who is the target audience? What are the anticipated outcomes (who will benefit and how)? How can the benefits be measured (how will you know if you succeed)? Who will know about it? Generally, projects involving two or more institutions will require time and ongoing discussions to develop a strong relationship, but projects based on these kinds of collaborative relationships will be more competitive for funding and more successful in execution. Involve potential allies as partners, members of advisory boards, or writers of support letters. They will help to disseminate results and extend the benefit.
- Develop a draft proposal—follow the recommended format and all instructions, and address all of the evaluation criteria in the order prescribed. Be sure to highlight your assets and try to resolve potential weaknesses (e.g., arrange to hire a consultant if your team lacks expertise in a specific area).
- Write in plain, understandable language. Limit your use of professional jargon and spell out any acronyms the first time they are used.
- Ask others who have not been involved in the project to read your draft—they may notice an important omission or weakness.
- Contact your program officer for clarification of questions.
- Revise your proposal and submit it on time.
- If your proposal is not successful, do not be discouraged. Read the reviewers' comments carefully—they can provide important suggestions for improving your project. Ask your program officer to help clarify any comments that you do not understand.

IMLS has available for review on its Web site (www.imls.gov) examples of successful application narratives for the National Leadership Grants program. You may view them on or download them from the Web site to use as guides in the preparation of your own narrative. Contact the Office of Library Services at 202/653-4700 or the Office of Museum Services at 202/653-4789 if you have questions.

DATA UNIVERSAL NUMBERING SYSTEM (D-U-N-S[®]) NUMBER, TAXPAYER IDENTIFICATION NUMBER (TIN), AND EMPLOYER IDENTIFICATION NUMBER (EIN)

To improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget (OMB) has directed all federal agencies to require all applicants for federal grants to provide a Dun & 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. Individuals who would personally receive a grant or cooperative agreement award from the federal government apart from any business or nonprofit organization they may operate are exempt from this requirement.

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.

If an organization does not have D-U-N-S[®] and TIN numbers, its application will be rejected.

AWARD INFORMATION

Duration of a Grant

Project Grant activities may be carried out for a period of up to 3 years. Collaborative Planning Grants are restricted to a period of up to 1 year.

Project Start Date

Project Grant funded projects may begin no earlier than October 1, 2010, and no later than December 1, 2010. Projects must begin on the first day of the month and end on the last day of the month.

Collaborative Planning Grant funded projects may begin no earlier than August 1, 2010 and no later than October 1, 2010. Projects must begin on the first day of the month and end on the last day of the month.

Amount of Grant

Project Grants award amounts are \$50,000–\$1,000,000 in all categories. Collaborative Planning Grants award amounts are up to \$50,000 for Level 1 and up to \$100,000 for Level II. IMLS will review and negotiate budgets as necessary. IMLS may award an amount less than that requested by an applicant.

Cost Sharing

Applicants are expected to share project expenses through the applicants' and partner institutions' cost share. Applicants to this program—other than those requesting research funds and those applying for Collaborative Planning Grants—are **required** to provide cost sharing of at least one half of the total cost of the project if the request for IMLS funds is equal to or more than \$250,000. Applicants who request less than \$250,000 are encouraged to provide at least one third of the total project cost from nonfederal sources. All listed expenses, including all cost sharing, must be incurred during the grant period. IMLS (45 C.F.R. Chapter XI) and government-wide administrative, cost, and audit rules and requirements apply, including appropriate OMB circulars. **Federal funds may not be used to meet cost-sharing requirements.**

Because research benefits the museum, library, and information sciences communities beyond any one institution, IMLS does not require a match for research proposals. However, applicants for research grants are encouraged to provide at least one third of the total cost of the project from nonfederal sources. IMLS will consider cost-sharing contributions as a competitive factor when evaluating research proposals (see "Evaluation Criteria," pp. 37-41).

IMLS encourages applicants to contribute as cost sharing the salaries of any 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 proposal should explain how their regular duties will be performed during the grant period.** IMLS prefers that applicants provide at least 50 percent of the cost of any equipment to be purchased for the project.

Proposals that demonstrate strong institutional support through cost sharing are generally rated more favorably by reviewers.

Use of Funds

Grant funds may not be used for construction, acquisition of collections, contributions to endowments, social activities, ceremonies, entertainment, or pre-grant costs. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing. All listed expenses must be incurred during the grant period. IMLS (45 C.F.R. Chapter XI) and government-wide administrative, cost, and audit rules and requirements apply, including appropriate OMB circulars.

Project Evaluation

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

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.imls.gov/recipients/administration.shtm.

IMLS encourages the use of an approach called outcome-based evaluation (OBE) when it is appropriate for the type of project to be conducted. Any project that identifies learning or education for any audience among its goals should plan to measure representative outcomes for that aspect of its work. Information about evaluation is available on the IMLS Web site at www.imls.gov/applicants/obe.shtm or on request from IMLS.

IMLS encourages applicants to consider participating in *Shaping Outcomes*, a Web-based course for which information is available at www.shapingoutcomes.org, or a similar learning experience in advance of application. Such programs are intended to help planners refine their purposes and evaluation plans.

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. Generally, a beta version of software developed on an IMLS-funded project must be provided to IMLS as a product of the grant. Consult with IMLS regarding software development projects.

Announcement of Award

No information about the status of an application will be released until all applications have been reviewed and all deliberations are concluded.

Project Grant applicants will be notified by IMLS of final decisions by **late September 2010**.

Collaborative Planning Grant applicants will be notified by IMLS of final decisions by **late July 2010**.

Payment, Accounting, Management, and Reporting Procedures

A federal accounting office handles the payment of grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires each grant recipient to maintain a restricted account for funds received during the project period. A recipient does not need to maintain a separate bank account for IMLS grant funds; however, it must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

Grant recipients are required to submit semiannual interim performance reports every six months during the grant period as well as annual financial reports. They are also required to submit a final performance report and a final financial report at the end of the grant period. Details regarding grant administration are located on the IMLS Web site at www.imls.gov/recipients/administration.shtm.

APPLICATION REVIEW PROCESS

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible as an official applicant (see “Institutional Eligibility,” pp. 9-10), the application will be rejected without evaluation and the applicant notified by IMLS. Applicants are encouraged to call IMLS Senior Program Officers for the National Leadership Grants program before submission of their applications to discuss and resolve any questions or concerns. Contact information for the National Leadership Grants program staff can be found on the IMLS Web site at www.ims.gov/applicants/grants/nationalLeadership.shtm or at the front of these guidelines.

All eligible and complete applications for National Leadership Grants will be evaluated by peer-review panels. Panelists will have professional experience in the various types of activities and projects. The IMLS director will make the final funding decisions on the basis of the evaluations by reviewers, the types of projects encouraged by IMLS, and the overall goals of the grant program and IMLS.

Reviewers provide their evaluation applying the review criteria identified with the narrative questions on pages 37-41. A copy of the reviewer handbook is located on the IMLS Web site at www.ims.gov/reviewers/resources.shtm.

For a list of funded projects, search the Awarded Grants database at www.ims.gov/search.asp.

Examples of applications may be found at www.ims.gov/applicants/sample.shtm.

GUIDANCE FOR PROJECTS THAT DEVELOP DIGITAL PRODUCTS

Information to Include in Proposal

Digital products can include digitized collections, software, information systems, data sets and other technology tools or digital assets. In the proposal narrative, include a description of the subject matter and nature of the digital product. If it is a digital collection, explain its significance, including relationships to topically related digital content. Explain how the material to be included in the project was or will be selected. If the project requires conversion or repurposing of existing digital content, describe the additional value this process will bring to the materials, such as enabling innovative new uses or attracting new audiences. If the project builds or repurposes software, tools, or other technology products, describe how the code will be documented and distributed; if the digital product is a data set, please describe its data format. Describe how potential users will discover and have access to any new digital products. Also, the Specifications for Projects That Develop Digital Products form must be completed and submitted as part of the project application.

Interoperability

Project design should demonstrate the use of existing standards and best practices for digital material where applicable; products should be interoperable with other digital content or information systems where appropriate.

National Leadership Grantees creating digital collections are expected to participate in the IMLS Digital Collection Registry currently operated by the University of Illinois at Urbana-Champaign. The Grainger Library has created a registry and a metadata repository of collections digitized with IMLS funding. (See the project site at <http://imlsdcc.grainger.uiuc.edu>.)

Project Plans

Projects that include digital conversion are strongly encouraged to develop a digitization plan before writing the grant application.

Projects developing technology tools (software, widgets, plug-ins, etc.) should include plans for creating technical documentation on project product's construction, implementation, and use.

Resources for Projects Developing Digital Products

IMLS has published *A Framework of Guidance for Building Good Digital Collections* as a resource for applicants planning digital projects. This document is now maintained by the National Information Standards Organization (NISO) and is available at <http://framework.niso.org/>. The third edition of this document contains links to many Web sites with useful information for planning and implementing digital projects. IMLS offers a wealth of information, including lists of funded digital projects, on our Web site at www.imls.gov.

The list of resources below, provided to help you learn more about digital projects, is neither exhaustive nor an endorsement by IMLS of any particular resource.

Training

Many universities, organizations, and businesses provide training in digitization and related topics. The following are examples only—check the general resource lists for leads to more training opportunities and the topic lists below for training resources in specific subject areas.

- www.library.cornell.edu/preservation/tutorial/contents.html—*Moving Theory into Practice: Digital Imaging Tutorial*, by Cornell University Department of Preservation and Collections Maintenance.
- www.lyrasis.org—offers training in digital imaging, copyright, digital preservation, and other related topics.
- www.oclc.org/us/en/community/education/regional/usa/—OCLC (Online Computer Library Center) provides seminars, workshops, and online training in digital projects, preservation, copyright, and other topics related to digitization.
- www.nedcc.org/education/introduction.php—Northeast Document Conservation Center.
- www.imagepermanenceinstitute.org/shtml_sub/education.asp—Image Permanence Institute.

General

- www.bcr.org/cdp/best/index.html—Bibliographical Center for Research's Collaborative Digitization Program offers many digitization resources that include information about copyright, metadata, digitization standards, and administrative concerns.
- <http://memory.loc.gov/ammem/about/techIn.html>—*Building Digital Collections: A Technical Overview*, Library of Congress American Memory Project.
- www.archives.gov/preservation/technical/guidelines.html—*Technical Guidelines for Digitizing Archival Materials for Electronic Access: Creation of Production Master Files—Raster Images*, by Steven Puglia, Jeffrey Reed, and Erin Rhodes, U.S. National Archives and Records Administration.
- <http://sunsite3.berkeley.edu/imaging>—Digitizing Images and Text, the Berkeley Digital Library portal links to resources on digitization projects, resources, and tools.
- www.mainememory.net/cp/cp_resources.shtml—The Maine Memory Network provides guidance and resources for its contributing cultural institutions such as libraries, museums, archives, and historical societies.
- <http://images.library.uiuc.edu/resources/links.htm>—The University of Illinois at Urbana-Champaign Digital Imaging Media Technology Initiative provides resources about many digitization topics, including a listing of current imaging programs, organizations, and committees.
- <http://chnm.gmu.edu/labs/mobile-for-museums/>—George Mason University's Center for History and New Media provides a brief overview of what is being done with mobile technologies in the museum world and offers suggestions based on this research on how to economically provide mobile users with a positive experience.
- www.chin.gc.ca/English—The Canadian Heritage Information Network has information on creating and managing digital content, with a focus on museum collections.
- www.nedcc.org/resources/digitalhandbook/tofc.htm—the *Handbook for Digital Projects: A Management Tool for Preservation and Access*, a Northeast Document Conservation Center site, offers nine chapters from a handbook on project management, scanning, copyright issues, technical topics, best practices, vendor relations, and longevity. Includes many links to related sites.
- www.diglib.org/publications.htm—The Digital Library Federation has publications on a range of topics, including digital image management and preservation.

- http://wiki.bibalex.org/DAFWiki/index.php/Main_Page—Bibliotheca Alexandrina provides Digital Assets Factory (DAF) digitization workflow tools.
- www.asis.org/Bulletin/Jun-04—*The Bulletin of the American Society for Information Science and Technology*, vol. 30, no. 5, June/July 2004, contains a special section about online museum information.
- <http://bcr-lists.org/mailman/listinfo/digistates>—DigiStates online discussion list for people working on collaborative statewide projects for the digitization of cultural heritage resources.
- www.gdfr.info/—Global Digital Format Registry.
- www.clir.org/pubs/reports/index.html—Council on Library and Information Resources (CLIR) has published more than 125 reports on topics relating to preservation, digital libraries, economics of information, trends in information use, international developments, and the changing role of the library.

Metadata

- www.niso.org/standards/resources/Metadata_Demystified.pdf—*Metadata Demystified*, by Amy Brand, Frank Daly, and Barbara Meyers (Sheridan Press and NISO Press, 2003).
- www.getty.edu/research/conducting_research/standards—*Data Standards and Guidelines*, Getty Standards and Digital Resource Management Program, Getty Research Institute.
- www.oclc.org/programs/ourwork/past/culturalmaterials/RLG_desc_metadata.pdf—*Descriptive Metadata Guidelines for RLG Cultural Materials*, by the OCLC Research Library Group.
- <http://webservices.itcs.umich.edu/mediawiki/oaibp/?PublicTOC>—*Best Practices for OAI Data Provider Implementations and Shareable Metadata*, by the Digital Library Federation and the National Science Digital Library.
- www.pbcore.utah.edu/PBCore—*PBCore: Public Broadcasting Metadata Dictionary*, for public broadcasters' television, radio, and Web activities.
- www.digitizationguidelines.gov—collaborative effort by federal agencies formed as a group in 2007 to define common guidelines, methods, and practices to digitize historical content in a sustainable manner. Detailed information for still and moving image digitization.
- www.loc.gov/standards—Library of Congress Digital Library Standards.
- www.diglib.org/standards.htm—*Digital Library Standards and Practices*, Digital Library Federation.
- www.bcr.org/cdp/digitaltbl—digital toolbox for the Bibliographic Center for Research's (BCR) Collaborative Digitization Program (CDP).
- www.openarchives.org—Open Archives Initiative, OAI-PMH and OAI-ORE.

Preservation of Digital Material

- www.icpsr.umich.edu/dpm—*Digital Preservation Management: Implementing Short-term Strategies for Long-term Problems*, a tutorial by the Cornell University Department of Preservation and Collections Maintenance.
- www.dlib.org—*D-Lib Magazine* has many articles on preservation of digital materials.
- www.imls.gov/collections/resources/care_dig.htm—*Care for Collections: Digital Materials*, Connecting to Collections Guide to Online Resources, Institute of Museum and Library Services.
- www.dcc.ac.uk—Digital Curation Centre.
- www.ariadne.ac.uk/issue50/pennock-rvw—Review by Maureen Pennock of *Digital Preservation*, edited by Marilyn Deegan and Simon Tanner, *Ariadne*, Issue 50, 30 January 2007.
- www.digitalpreservation.gov—digital preservation Web site of the Library of Congress.

- www.digitalpreservation.gov/partners/resources/tools—a list of tools and services designed, developed, or used by National Digital Information Infrastructure and Preservation Program (NDIIPP) partners during their projects, on the digital preservation Web site of the Library of Congress.

Intellectual Property/Open Access Tools

- www.umuc.edu/distance/odell/cip/cip.shtml—Center for Intellectual Property, University of Maryland University College.
- www.copyright.cornell.edu—Cornell University’s Copyright Information Center.
- <http://librarycopyright.net/digitalslider>—a digital slider for determining copyright protection.
- www.dfc.org—Digital Future Coalition.
- www.digitalpreservation.gov/library/resources/pubs/docs/digital_preservation_final_report2008.pdf—*International Study on the Impact of Copyright Law on Digital Preservation*, a joint report of the Library of Congress National Digital Information Infrastructure and Preservation Program, the Joint Information Systems Committee, the Open Access to Knowledge (OAK) Law Project, and the SURFfoundation.
- <http://creativecommons.org/choose>—Creative Commons licensing tools.
- www.arl.org/sparc/author—SPARC (Scholarly Publishing and Academic Resources Coalition) author addendum to agreements with publishers.
- <http://opensource.org/licenses>—Open Source Initiative approved software licenses.
- www.archivists.org/standards/OWBP-V4.pdf—Society of American Archivists report that provides methods to use when attempting to identify and locate copyright holders.

Universal Access

- www.w3.org/WAI—The World Wide Web Consortium’s guidance and resources on Web accessibility for people with disabilities.
- <http://trace.wisc.edu/world/web>—The Trace Center’s Designing More Usable Web Sites presents resources on universally accessible Web guidelines, compliance with Section 508, and forums for discussing accessibility issues.
- <http://webaim.org/>—WebAIM is a nonprofit organization within the Center for Persons with Disabilities at Utah State University.
- www.daisy.org/—the DAISY (Digital Accessible Information SYstem) Consortium is a membership organization of talking book libraries formed to lead the worldwide transition from analog to digital talking books and set technology standards and best practices in this area.

**PREPARING AND SUBMITTING
AN APPLICATION**

GRANTS.GOV INFORMATION AND INSTRUCTIONS

Organizations that are applying under the February 1, 2010, deadline for the National Leadership Grants 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, 2010.

While the deadline is February 1, 2010, IMLS recommends strongly that applicants REGISTER EARLY and COMPLETE AND SUBMIT THEIR APPLICATION EARLY. All applicants who are using Grants.gov must register with Grants.gov before submitting their application. The multistep registration process generally cannot be completed in a single day. Applicants who are not already registered should allow at least two weeks to complete this one-time process. **DO NOT WAIT UNTIL THE WEEK OF THE APPLICATION DEADLINE TO REGISTER.**

Find Grant Opportunities

www.grants.gov/applicants/find_grant_opportunities.jsp

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

Get Registered

www.grants.gov/applicants/get_registered.jsp

- **Step 1: Register your organization**
 - Request a D-U-N-S® Number
 - Register with the Central Contractor Registry (CCR)
 - Organization registration checklist
- **Step 2: Register yourself as an Authorized Organization Representative (AOR)**
- **Step 3: Get authorized as an AOR by your organization**

Apply for Grants

www.grants.gov/applicants/apply_for_grants.jsp

- **Step 1: Download a grant application package**

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

**CFDA No: 45.312
Funding Opportunity Number: NLG-FY10**

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

1. *Download Application Instructions*: This package contains the grant application guidelines (which include instructions for completing the application) and the IMLS forms for budget, program information, and any others related to this specific program.
2. *Download Application Package*: This package has the Face Sheet (SF-424s, "Application for Federal Domestic Assistance/Short Organizational Form"), Abstract, and the Attachments form.

- **Step 2: Complete the grant application package**
- **Step 3: Submit the completed grant application package**

Important deadline information: Applications must be received by 11:59 p.m. on February 1, 2010, in the Grants.gov system. Within 48 hours of submitting a grant application, applicants will receive two email messages from Grants.gov:

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

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

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

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

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

Grants.gov Help

For direct assistance with Grants.gov, contact the Grants.gov help desk via e-mail at support@grants.gov, or call Grants.gov at 1-800-518-4726 from 7:00 a.m. to 9:00 p.m. eastern time, Monday through Friday, excepting federal holidays.

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

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

- User manual for applicants: www.grants.gov/assets/ApplicantUserGuide.pdf
- Frequently asked questions (FAQs): www.grants.gov/help/faq.jsp
 - General FAQs
 - Applicant FAQs
 - Submit Application FAQs
 - Adobe® and PureEdge FAQs

- How to convert documents to PDF format: www.ims.gov/pdf/PDFConversion.pdf
- Download PureEdge and/or Adobe® software: See Step 1 at www.grants.gov/applicants/apply_for_grants.jsp
- Glossary: www.grants.gov/help/glossary.jsp
- D-U-N-S® help: <http://fedgov.dnb.com/webform/displayHomePage.do>
- D-U-N-S® FAQs: <http://fedgov.dnb.com/webform/displayFAQPage.do>
- CCR help:
 - CCR User's Guide: <http://www.bpn.gov/ccr/handbook.aspx>
 - CCR FAQs: www.ccr.gov/FAQ.aspx

NOTE: Once an organization has registered with the CCR, the registration must be renewed each year. Go to: www.bpn.gov/ccr/default.aspx.

PREPARING AN APPLICATION

Application Components

An application requesting funding from the National Leadership Grants program should include the following materials. Each component is in one of the following formats:

- **Grants.gov form:** These forms are available only in the package downloaded from Grants.gov.
- **IMLS PDF 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. While the Word versions of the forms are provided for convenience, please note that **completed forms must be submitted as PDFs**. For assistance in converting documents to PDF, visit www.imls.gov/pdf/PDFConversion.pdf.
- **PDF document:** Applicants should create these documents using their own word processing or other software. **Again, they must be attached to the application as PDFs.**

Note: IMLS will not convert files for applicants and will not accept file formats other than PDF.

Component	Format
1. Face Sheet: the Application for Federal Domestic Assistance/Short Organizational Form (SF-424s)	Grants.gov form
2. Abstract	Grants.gov form
3. Program Information Sheet	IMLS PDF form
4. Narrative: not to exceed ten pages	PDF document
5. Detailed Budget: replicated for each year of the project	IMLS PDF form
6. Summary Budget	IMLS PDF form
7. Budget justification	PDF document
8. Schedule of completion	PDF document
9. Specifications for Projects That Develop Digital Products (if applicable)	IMLS PDF form
10. Partnership Statement (if applicable)	IMLS PDF form
11. Organizational profile	PDF document
12. List of key project staff and consultants	PDF document
13. Resumes for key project staff: not to exceed two pages per person	PDF document
14. Proof of nonprofit status (if applicable)	PDF document
15. Current federally negotiated rate for indirect costs (if applicable)	PDF document
16. Supporting documentation (if applicable)	PDF document

Attachments: Naming the Files and Their Sequence

The IMLS forms and text documents that are part of the application must each be saved as a PDF that is named according to the list below. Note: IMLS will not convert files for applicants and will not accept file formats other than PDF. For assistance in converting documents to PDF, visit www.imls.gov/pdf/PDFConversion.pdf.

Append all of the documents to the Attachments form in the prescribed sequence. If you have more attachments than will fit on one Attachments form, please use the Optional Attachments form for the remaining ones, following the same naming convention.

The Face Sheet (SF-424s) and the Abstract are Grants.gov forms that will automatically be saved as PDFs. The table below is for all of the other application components that are appended to the Attachment form.

Document	File name to use	Attach in this order
Program Information Sheet	Programinfo.pdf	1
Narrative	Narrative.pdf	2
Detailed Budget form (by year, as appropriate)	Detailedbudgetyear1.pdf Detailedbudgetyear2.pdf Detailedbudgetyear3.pdf	3 4 5
Summary Budget form	Summarybudget.pdf	6
Budget justification	Budgetjustification.pdf	7
Schedule of Completion	Scheduleofcompletion.pdf	8
Specifications for Projects That Develop Digital Products form	Specificationsdigital.pdf	9
Partnership Statement form	PartnerJones.pdf PartnerSmith.pdf PartnerDoe.pdf Etc.	10 11 12 Etc.
Organizational Profile	Organizationalprofile.pdf	13
List of key project staff and consultants	Projectstaff.pdf	14
Staff resumes	Resumes.pdf	15
Proof of nonprofit status	Proofnonprofit.pdf	16
Indirect cost rate form	Indirectcostrate.pdf	17
Supporting documentation (numbered, as appropriate)	Supportingdoc1.pdf Supportingdoc2.pdf Supportingdoc3.pdf Etc.	18 19 20 Etc.

SF-424s (Face Sheet)

The IMLS Face Sheet is the equivalent of the “Application for Federal Domestic Assistance/ Short Organizational Form (SF-424S)” on Grants.gov.

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 pages 9-10 (Institutional Eligibility) for eligibility details. If the eligible entity does not have the authority to apply directly to IMLS for funding, enter the name of the parent organization that is submitting the application on behalf of the eligible entity. Enter the name of the eligible entity in the space provided for “Organizational Unit” on the Program Information Sheet, 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 found at <http://zip4.usps.com/zip4/welcome.jsp>.

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.

f. Organizational D-U-N-S®: All organizational applicants for federal funds must have a D-U-N-S® number. Ensure that the number entered here agrees with the number (either 9 or 13 digits) that was used with the Central Contractor Registry (CCR) 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. If an applicant 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 institution’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. National Leadership Project Grant–funded projects must begin no earlier than October 1, 2010, and no later than December 1, 2010. Collaborative Planning Grant–funded projects may begin no earlier than August 1, 2010, and no later than October 1, 2010. Start dates must be the first day of a month. End dates must be the last day of a month.

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. **Leave the Social Security number blank.** Select the appropriate 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,” pp. 51-55). All written correspondence will be addressed to the authorized representative.

The “Signature of Authorized Representative” and “Date Signed” boxes will be populated automatically on submission of the application. Submission of the application by the authorized representative certifies compliance with relevant federal requirements, and that the statements in the application (including, but not limited to, the Partnership Statement) are true, complete, and accurate to the best of the applicant’s authorized representative’s knowledge.

Abstract

A project abstract not exceeding one single-spaced page (600-word maximum) must be provided. Insert the text 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 who are the formal partners (if applicable)?
- What is the time frame for the project?
- What community need(s) will the project address?
- Who is the intended audience for the activities?
- What will be the project's activities, outcomes, and tangible products?
- What are the intended outcomes for audience members in terms of measurable changes in knowledge, 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 library that is part of a parent organization, such as a university, is applying, the university would be the legal applicant, and the library would be entered as the organizational unit. Be sure to include the four-digit extension on the Zip code (Zip+4).

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.

e. Type of Institution: Select the one type that most accurately describes the applicant.

2. Grant Program or Grant Category

Select the appropriate designations listed under "i. National Leadership Grants."

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

3. Request Information

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

b. Cost Share Amount: Enter the amount here. See “Award Information: Cost Sharing” on page 20 for further information about cost sharing requirements.

4. Museum Profile (Museum Applicants only)

Museum applicants to the National Leadership Grants program must answer all questions in this section.

5. Project Partners

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

6–8

Applicants for National Leadership Grants should skip these sections.

Narrative

Limit the narrative to ten single-sided, single-spaced, numbered pages.

The narrative must:

- include the applicant organization’s name at the top of each page,
- not exceed the space limits,
- be printable on 8.5- by 11-inch paper,
- have a margin of at least 0.5 inch on all sides,
- use a typeface that contains no more than six lines per vertical inch,
- use a typeface with standard spacing between letters (i.e., do not use a condensed font), and
- have each page numbered sequentially.

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. The following section, “Evaluation Criteria,” describes the items to be addressed in the National Leadership Grants application narrative. The narrative should explain what need the project will meet and should provide sufficient information for reviewers to evaluate all criteria. Applicants must address each question and related criteria separately, and in the order in which they are listed below. Use the criteria section titles in your narrative to guide reviewers in their evaluation. Detailed budget discussion should not be included here, but in the separate budget justification. Planning documents that informed the project design, such as needs assessments or digitization plans, should be included as supporting documentation.

Evaluation 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, archives, and/or museum 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:

1. degree that the project activities carry out more than incremental change,
2. degree of project's potential impact on services, programs, and/or library, archival, and/or museum professional practices,
3. 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 leadership potential and have innovative impact. 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.

Evaluation Criteria for Advancing Digital Resources, Research, Demonstration, and Library-Museum Collaboration Grants

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.

Evaluation 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, archives, and/or museum fields.

National Impact and Intended Results

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

Evaluation 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.
- Leadership proposals may carry a risk of failure, but should demonstrate how potential benefits outweigh 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, archives, and/or museum communities.

Project Design and Evaluation Plan

Project Design

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 information will be shared and decisions will be made between all parties involved. Describe the relationship of the project to any similar projects in the library, archives, and/or museum fields.

Evaluation Plan

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.

Evaluation Criteria

Proposal provides clear and convincing evidence that:

- 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, and
- project evaluation will provide reliable information on which to judge impact or base actions.

For Research projects, proposals should:

- pose the research questions concisely and clearly,
- thoroughly explain the chosen research methodology: how the questions will be investigated, how data will be gathered and analyzed, how results will be evaluated, and why a certain methodology is the appropriate one for the research activity, and
- provide evidence that results are likely to be valid, reliable, replicable, and generalizable.

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.

Evaluation 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.

Dissemination

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. Discuss the two parts of dissemination: (1) to the professional field, and (2) to the audience for the project's products. Describe how new products and services will reach the audiences described in the first criterion, Assessment of Need. Discuss how communication plans will use a variety of appropriate media to reach appropriate audiences. If developing software or other technology tools, describe how these will be made available to the public for reuse and implementation. See www.ims.gov/recipients/communication.shtm for dissemination ideas.

Examples 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.

Evaluation 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 archiving fields, and to other professional organizations and communities, as appropriate.
- Extent to which communities described in the Needs Assessment section will benefit.

Sustainability

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

Evaluation 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, archives, 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 listed on page 26. 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, archives, and/or museum communities, and enter into the knowledge base of the library, archives, and/or museum fields.

Evaluation Criteria for Collaborative Planning Grants, Levels I and II

Assessment of Need

Degree to which the project to be planned will benefit the intended audience.

National Impact and Intended Results

Degree to which the planning will result in a project likely to have a significant impact on current issues in the field.

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.

Project Resources: Budget, Personnel, and Management

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

Dissemination (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.

Collaborative Planning Grant, Level I applicants do not need to address the Dissemination and Sustainability criteria.

Collaborative Planning Grant, Level II applicants do not need to address the Sustainability criterion.

Budget

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

1. Detailed Budget
2. Summary Budget
3. Budget justification

The Detailed Budget for each year of the project and the Summary Budget that describes costs for the entire project are both available as fill-in PDF forms in the Grants.gov Zip file or on the IMLS Web site. The third element is the Budget justification, which is referenced and explained below.

Applicants requesting funding from the National Leadership Grants program must provide cost sharing of at least one half of the total project cost if the request is for \$250,000 or more. Research proposals are exempt from this requirement. See “Award Information: Cost Sharing” on page 20 for further information.

Detailed Budget

Applicants need to fill out a copy of the Detailed Budget Form for each year of the project. The first copy of the budget form should begin on the project start date and end 12 months later. Applicants using the PDF form can fill out the form for one year, save it, and then fill it out again for the remaining years. Applicants will notice that the columns total automatically.

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party in-kind contributions (cost sharing). In-kind contributions include the value of services or equipment that is donated to the project free of charge. All of the items listed, whether supported by grant funds or cost-sharing contributions, 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 applicants are expected to include the costs of evaluation, reporting, and dissemination in their project budget. These costs may be for consultants or staff, development of instruments, information collection, analysis, reporting, and/or disseminating project information by a variety of means. 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. If the number of staff exceeds the number of rows allotted in this section, attach a complete itemization of all salaries and wages as part of the budget justification.
2. **Fringe Benefits:** Fringe benefits may include contributions for Social Security, employee insurance, pension plans, and so on. Only those benefits not included in an organization’s indirect cost pool may be shown as direct costs. In the budget justification, please provide details explaining how fringe rates are applied and totals are calculated.
3. **Consultant Fees:** List any consultants hired for this project. Identify the costs for each consultant’s services by the daily fees charged.
4. **Travel:** Applicants must include \$2,000 per year for travel to attend IMLS-designated meetings. For partnership projects, include \$4,000 per year for such travel. The lowest available commercial fares for coach or equivalent accommodations must be used, and foreign travel must be undertaken on U.S. flag carriers when such services are available.
5. **Supplies and Materials:** In general, list the costs of materials 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. Attach a complete itemization of these costs as part of the budget justification.
6. **Services:** List the costs of project activities to be undertaken by a third-party contractor, including a partner, under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. Attach a complete itemization of these costs as part of the budget justification. If there is more than one contractor, list the cost of each contract separately on the IMLS budget form and attach a separate itemization to the budget justification for each contractor.
 7. **Student Support:** This **does not apply** to the National Leadership Grants program. Skip this section.
 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 to list additional items, this information should be summarized in the Detailed Budget form and a complete, itemized list of costs should be included and explained in the budget justification.
 9. **Total Direct Costs:** The subtotal amounts from the previous eight sections will automatically fill in.
 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 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.

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.

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 (administrative) items 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.

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.

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, travel, other stipends, and/or tuition may not be included in the amount on which indirect costs are applied.

These instructions also apply to an organization that will function as a partner in undertaking grant activities.

Indirect costs **cannot** be applied to **Collaborative Planning Grants**.

These instructions also apply to **all** organizations that function as partners in the grant's activities.

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 line items. For example, the budget justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses. The application should provide specifications for all hardware and software for which IMLS funding is requested. Any costs that were consolidated and summarized in the detailed budget form should be itemized and explained within the appropriate section of the budget justification. The format of the justification should follow the 10 section headings of 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 proposal 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 budget justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified.

The cost of project activities to be undertaken by a third-party contractor or a partner should be listed under "Services" on the Detailed Budget as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be provided by the third party.

A complete itemization of these costs should be included as part of the budget justification. If there is more than one contractor, the cost of each contract must be listed separately on the IMLS budget form and an itemization must be included as part of the budget justification.

Schedule of Completion

The applicant must provide a Schedule of Completion that shows when each major project task will be undertaken, marks the milestones for each grant activity, and designates how grant funds are to be spent throughout the project. The Schedule of Completion must also correspond to the activities described in the narrative and the project dates on the SF-424s and budget pages. One way to plot this information is in a graph or chart that lists project activities and the corresponding months when these activities will take place during the project. This document may be created as a narrative or spreadsheet, and should be no longer than one page per year. See the next page in these guidelines for an example.

Specifications for Projects That Develop Digital Products

For a list of resources that may help applicants complete this form, see pages 24-27. This list is intended to assist applicants identify potentially helpful resources and is neither exhaustive nor an endorsement by IMLS of any particular resource.

If there is not enough space on the form to provide complete answers to the questions, please copy the questions to a separate document, answer them fully, and incorporate the document (clearly named so as to be identifiable) into the supporting documentation portion of the application.

Part I

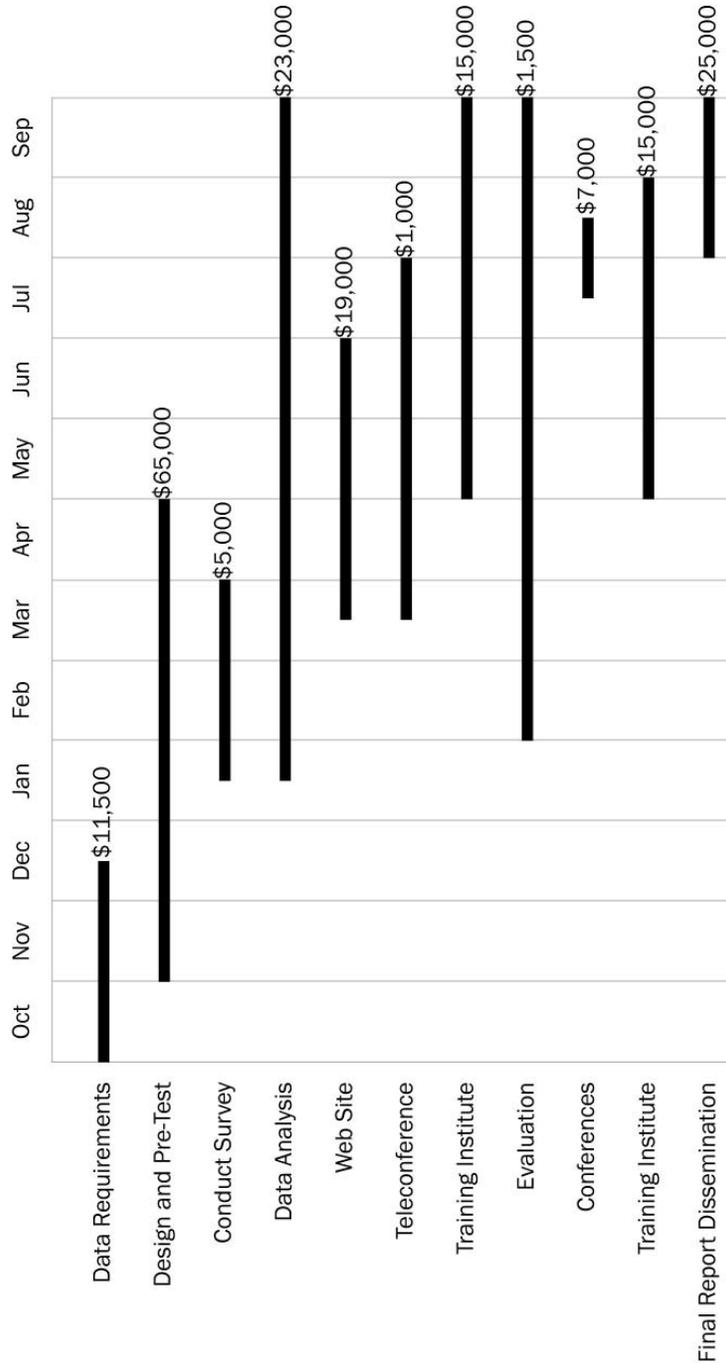
Complete the appropriate sections. Select box A, B, C, D, or any combination of these boxes, depending on the original material the applicant will be working with and the digital products that will be developed.

Box A. Converting Non-Digital Material to Digital Format

- A1 Explain the types of original non-digital materials to be selected for digitization, such as text, photographs, three-dimensional art objects, archaeological artifacts, maps, motion pictures, and video, and give the quantity of each type. For audio, video, and motion picture materials, give the total number of minutes or hours to be digitized. Describe the original format of each type of material to be digitized.
- A2. Identify all use or access restrictions covering the original material to be digitized. Check the intellectual property condition and give the corresponding percentage of the original material to be digitized that is subject to restrictions.
- A3. Describe the terms of access and use that will apply to the newly digitized material being created by the project. Identify and explain any restrictions that will apply to the digitized material, and specify what percentage if any of the total material will be subject to restrictions. Examples are copying, no downloading, and registration.

Sample Schedule of Completion

This is a sample format for a Schedule of Completion. Applicants may prepare theirs in a similar manner, but this format is not required. Whatever format is selected, be sure to list each major project activity addressed in the application narrative, the date each activity begins and ends, and the amount of IMLS grant funds to be expended for each activity. It is critical that the dates on the Schedule of Completion correspond to the project dates on the Application for Federal Domestic Assistance/Short Organizational Form (SF-424s; also known as the Face Sheet). If the proposed activity is part of a larger project, make sure the IMLS-funded portion is clearly identified. The total amount of IMLS funds listed for each activity must equal the total amount of direct project costs requested from IMLS.



- A4. Explain what equipment and software will be used and include specifications that are relevant to the work of the project (e.g., cameras with zoom capability, scanners, servers, motorized object rigs). Equipment and software must be described, whether the digitization will be completed in-house or outsourced to a contractor or partner.

Box B. Repurposing Existing Digital Content

- B1. Explain the original materials whose digital form will be repurposed, such as digital text (e.g., oral history transcripts), photographs, video, audio, and Web files, and give the number of each type. Describe the digital format and the amount of material to be repurposed.
- B2. Identify copyright and other potential restrictions with regard to the original digital material. Check the intellectual property condition and give the corresponding percentage of the digital material to be repurposed.
- B3. Describe the terms of access and use of the repurposed digital material. Identify and explain any restrictions that will apply to the repurposed digital material, and specify what percentage if any of the total material will be subject to restrictions. Examples are copyright, no downloading, and registration.
- B4. Explain what equipment and software will be used and include specifications that are relevant to the work of the project. Equipment must be described whether the repurposing will be completed in-house or outsourced to a contractor or partner.

Box C. Creating New Digital Content

- C1. Explain the types of digital content to be created, such as digital text (e.g., oral history transcripts), photographs, video, audio, and Web files, and give the quantity of each type.
- C2. Describe the plan to obtain releases/permissions from project content creators (e.g., filmmakers) and subjects (e.g., oral history interviewees).
- C3. Describe the disposition of ownership of the new product. Describe how the new product will be made available to the public. Explain the terms of access and conditions of use. Identify and explain any restrictions that will apply to the new product, and specify what percentage if any of the total material will be subject to restrictions.
- C4. Explain what equipment and software will be used and include specifications that are relevant to the work of the project (e.g., camera, audio recording equipment, video recording equipment, encoding software, server). Equipment must be described whether the content will be created in-house or outsourced to a contractor or partner.

Box D. Creating New Software Applications, Information Systems, or Other Technology-Based Tools

- D1. Explain the type of software or other technology tool that will be created (e.g., browser plug-in, software extension, search tool, presentation interface).
- D2. List the programming languages, platforms, software, or other applications and their specifications being used.

D3. Describe disposition of ownership and use rights of new product. Describe how the new product will be made available to the public. Explain the terms of access and conditions of use.

D4. Describe how the tool extends or interoperates with existing applications, if applicable.

D5. Describe the development documentation process and technical description of the final product.

Part II

Answer all questions.

1. Specify the file formats to be produced and the anticipated quality of each format (e.g., minimum resolution, depth, tone, pixel dimensions, file size, sampling rate, compression ratio, frames per second). If watermarks or other access restriction features will be used, explain. If producing multiple versions of a digital image, please provide information for each file type (Preservation Master, Access, and Thumbnail versions).
2. Describe the medium that will be used to deliver the digital material or tool (e.g., Internet streaming or download, broadcast, DVD).
3. Describe the underlying software to manage and/or present the content or hardware/software dependencies required to run the application or technology tool.
4. Describe the plan for ensuring the technical quality of the digital product.
5. Explain how metadata (e.g. technical, descriptive, administrative, preservation) will be produced and used to describe and manage the content. Include the standards that will be used for data structure, content (e.g., thesauri), protocols, preservation and administrative information, and communication of the content (e.g., MARC, EAD, Dublin Core, PREMIS, PBCore, VRA Core Categories, or Categories for the Description of Works of Art).
6. Describe plans for preserving and maintaining the digital files during and after the grant period. The plan should cover storage systems, data standards, media to be used, migration plans, data preservation plans, maintenance responsibilities, and commitment of institutional funding support.
7. If content will be provided on the Internet, indicate agreement to submit collection level records for digital products to the IMLS Digital Collection and Content Registry. State the reasons for selecting alternative approaches.
8. Provide URL(s) for applicant's previously digitized collections or other digital products, if applicable. If the proposed digital collection will differ substantially in look and feel from collections previously digitized, explain what the differences will be.

Partnership Statement

Complete a Partnership Statement form for each formal partner involved in the proposed project and listed in section 5 of the Program Information Sheet. Partnership Statements 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., PartnerCornell or PartnerNOMA. Then attach each document to the application following the sequence indicated in “Application Components” (see p. 32).

At the top of each Partnership Statement, 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

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 page 19 within these guidelines for information and instructions on how to secure one. To obtain a full Zip+4 postal code, visit <http://zip4.usps.com/zip4/welcome.jsp>.

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 to the applicant, and that this form can and will be made available to IMLS on request.

Organizational Profile

Provide an organizational profile of no more than one page. Include the following information: (1) the organization's mission, and (2) the organization's service area (audience served, including size, demographic characteristics, and geographic area). This information will give the reviewers an understanding of the applicant organization.

List of Key Project Staff and Consultants and Resumes for Key Project Staff

Provide a list of the key project staff and the consultants who will be directly involved in the program.

Add resumes or curriculum vitae of no more than two pages each for all key personnel (both staff and consultants). Add a page break at the end of the list of personnel, and then add page breaks at the end of each of the resumes/vitae.

Note: If the key project personnel have not been selected by the application deadline date, then submit position descriptions instead of resumes. Because application reviewers rely on resumes to determine the project's potential for success, if the personnel have not been chosen, the application may be at a competitive disadvantage.

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.

Federally Negotiated Indirect Cost Rate Agreement

If the applicant institution has a federally negotiated indirect cost rate agreement that will be current at the time the project begins, then submit this document with the application and claim the approved rate agreement on the IMLS budget forms.

Supporting Documentation

Supporting documentation comprises documents that specifically relate to the justification for the project. IMLS recommends including relevant supporting documentation (e.g., needs assessments, digitization plans, letters of support) for the specific project applied for, being careful to ensure that the included material is directly relevant to the proposed project.

Do not overburden the reviewers with unnecessary materials.

Where possible, within the application narrative provide Web links to relevant online materials in lieu of attaching supporting documentation.

When attaching these documents, give each one a specific title that clearly identifies what type of document it is. Applicants are encouraged to create multipage documents that include multiple attachments, when possible (e.g., combine all letters of support into one, single PDF document).

All supporting documentation should include dates of creation and authorship.

**IMLS ASSURANCES AND
CERTIFICATION**

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, which are found in 45 CFR Chapter XI. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

Certifications Required of All Applicants

Financial, Administrative, and Legal Accountability

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

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

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

Federal Debt Status

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

Debarment and Suspension

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

- (a) are presently excluded or disqualified;

- (b) 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;
- (c) 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
- (d) 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:

- (a) 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;
- (b) 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;
- (c) 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
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

Drug-Free Workplace

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

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

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

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

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

- (a) no federal appropriated funds have been paid or will be paid by or on behalf of the authorized representative to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement;
- (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the authorized representative shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions; and
- (c) the authorized representative shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

General Certification

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

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).

TEN TIPS TO WORKING SUCCESSFULLY WITH GRANTS.GOV

1. **Register early!** Go to www.grants.gov/applicants/get_registered.jsp. This process may take up to two weeks to complete. And it may take longer if your organization does not have a D-U-N-S® Number. You must have a D-U-N-S Number to register with Grants.gov. If you registered last year, please note that you must renew each year. Go to <https://www.bpn.gov/ccr/default.aspx>.
2. You may wish to designate 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.
3. **Log onto Grants.gov and start working on your grant application NOW.** Do not wait until the last week before the application deadline to begin the submission process, particularly if you are not familiar with Grants.gov. It may take up to 48 hours to receive notification that your application has been both received **and** validated after submission. Give yourself enough time to make corrections, if necessary, and resubmit before the grant deadline.
4. Download the most recent version of Adobe® Acrobat® Reader® onto your computer for best results. Currently, Grants.gov only supports versions 8.1.1 and later. If you are working with a “track changes” tool while writing your application, be sure to **accept** all changes and save the document before submission to Grants.gov.
5. All documents must be submitted in **PDF format**. Follow the instructions in the IMLS Grant Guidelines to convert your MS Office® documents like Word and Excel® to PDF: www.imls.gov/pdf/PDFConversion.pdf. Start practicing the conversion of Word, Excel, and other types of documents into the PDF format. If you are new to this process, you may need time to learn how to do this smoothly and avoid frustration as the deadline nears.
6. Avoid scanning your documents when possible—this creates a very large file that makes your application more cumbersome to manage, and the large files may not be processed properly. Whenever possible, use the PDF conversion instructions noted above.
7. The following Web browsers are compatible with Grants.gov: Mozilla® Firefox® and Internet Explorer® browsers on Windows systems; Mozilla® Firefox® and Safari® on Macintosh systems.
8. Do not email, fax, or mail applications or any part of an application to IMLS. We will only accept application documents that are submitted and successfully validated by Grants.gov.
9. The IMLS grant program guidelines contain extensive instructions and hints to help you with this entire process. Please take the time to read through these materials as well as the information provided at www.grants.gov. You will be more likely to receive the assistance you need if you begin by familiarizing yourself with the basic instructions and guidance provided through these sources.

10. Contact the Grants.gov help desk (support@grants.gov, 1-800-518-4726) or view the Grants.gov Help Web site (www.grants.gov/help/help.jsp) for assistance with the following:

- Hardware and software issues
- Registration issues
- Technical problems with attachments

Library and archive applicants should contact IMLS Senior Program Officers Rachel Frick (rfrick@imls.gov, 202/653-4) or Chuck Thomas (cthomas@imls.gov, 202/653-4663), or Program Specialists Mary Allen (mallen@imls.gov, 202/653-4687) or Robert Trio (rtrio@imls.gov, 202/653-4798); and museum applicants should contact Program Specialist Jennifer Headley (jheadley@imls.gov, 202/653-4702) for assistance with the following:

- Guidelines
- Eligibility questions
- Content, budget, timeline (Schedule of Completion) questions

NOTE: Grants.gov help and IMLS program staff assistance are not available on weekends or federal holidays.



INSTITUTE of
Museum and Library
SERVICES

1800 M Street, NW, 9th Floor

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