

Grant Applicants Program Guidelines

Connecting to Collections Statewide Implementation Grants -- FY 2011 Guidelines

Navigating the Guidelines

You are currently on: [Home page](#)

[Contents](#)

[Section One: General Information](#)

[Section Two: Preparing and Submitting an Application](#)

[Section Three: IMLS Assurances and Certification](#)

CFDA Number 45.312

Application Deadline: December 15, 2010

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

Dear Colleagues



I am pleased to present the 2011 guidelines for the *Connecting to Collections: Statewide Implementation Grants*. These grants support projects that foster collaborations among institutions dedicated to safeguarding our most cherished collections for the education and enjoyment of future generations.

For the past four years, IMLS and its partners have been drawing attention to the findings and recommendations of *A Public Trust at Risk: The Heritage Health Index Report on the State of America's Collections (HHI)*, a landmark study conducted by Heritage Preservation in partnership with IMLS. Our *Connecting to Collections: A Call to Action* initiative has already resulted in a successful national summit on conservation and preservation, three rounds of awards to small museums and libraries for the IMLS Connecting to Collections Bookshelf, four convenings of *Connecting to Collections: The National Tour*, two "Raising the Bar" workshops, and two rounds of American Heritage Preservation Grants.

In FY 2008, we added the *Statewide Planning Grants* to our initiative in an effort to foster effective partnerships among organizations that have a strong commitment to the collections stewardship goals of a given state, commonwealth, or territory. During the three years that this grant opportunity was offered, 57 states and territories received a planning award. These guidelines represent the final component of the *Connecting to Collections* initiative: the *Statewide Implementation Grants* for improvements in collections care. Using the procedures and goals set out in their planning grants as a blueprint for their work, applicants must demonstrate how their planning process evolved and developed, and how the proposed project will address findings of that planning process. Awards of up to \$250,000 will be made to projects that can serve as models for states that have begun their own planning process, helping other institutions achieve the recommendations of the *HHI* through an appropriate and achievable plan for action.

I encourage you to visit the *Connecting to Collections* Web site at www.ims.gov/collections, and to take this opportunity to apply for a 2011 *Connecting to Collections: Statewide Implementation Grant*.

Sincerely,

Marsha L. Semmel

Acting Director, IMLS

Contact Information

For more information, call or write:

Connecting to Collections Statewide Implementation Grants Staff

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

Office of Management and Budget Clearance Numbers

Guidelines: OMB No. 3137-0029 Expiration Date 8/31/ 2013.

Forms: OMB No. 3137- 0071 Expiration Date: 08/31/ 2013.

Burden Estimates and Request for Public Comments

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

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

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

Note: IMLS operates on an annual fiscal year cycle. Its grant programs are subject to the availability of funding.

[back to top](#)

Grant Applicants

Program Guidelines

Connecting to Collections Statewide Implementation Grants -- FY 2011 Guidelines

Navigating the Grant Program Guidelines

[Home page](#)

You are currently on: Contents

[Section One: General Information](#)

[Section Two: Preparing and Submitting an Application](#)

[Section Three: IMLS Assurances and Certification](#)

Contents

Section One: General Information

About the Institute of Museum and Library Services

[Museums and Libraries Strengthen 21st Century Skills](#)

[Museums and Libraries Engaging America's Youth](#)

[Connecting to Collections: A Call to Action](#)

About Connecting to Collections Statewide Implementation Grants

Web Conferencing with Program Staff

Eligibility

[Partnerships](#)

Application Review Process

[How to Serve as a Reviewer](#)

[Guidance for Projects That Develop Digital Products](#)

Award Information

[Application Deadline](#)

[Project Start and End Date](#)

[Award Amounts](#)

[Cost Sharing](#)

[Award Announcements](#)

[Use of Funds](#)

[Project Evaluation](#)

[Copyright/Work Products](#)

[Digital Products](#)

Section Two: Preparing and Submitting an Application

Grants.Gov Information and Instructions

[Find Grant Opportunities](#)

[Get Registered](#)

[Apply for Grants](#)
[Grants.gov Help](#)
[Five Tips for Working Successfully with Grants.gov](#)

Preparing an Application

[Application Component Formats](#)
[Application Component Naming and Sequencing](#)
[Application Components](#)

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

Abstract

Program Information Sheet

Explanation of Budget Surplus/Deficit (for museum applicants only)

Organizational Profile

Narrative

Schedule of Completion

Budget

[Detailed Budget](#)
[Use of Indirect Cost Rates](#)
[Summary Budget](#)
[Budget Justification](#)

Specifications for Projects that Develop Digital Products

Partnership Statement

List of Key Project Staff, Consultants, and Service Providers

Resumes of Key Project Staff, Consultants, and Service Providers

Letters of Commitment

Proof of Nonprofit Status

Federally Negotiated Indirect Cost Rate Agreement

Section Three: IMLS Assurances and Certification

Assurances Statement

Certifications Required of All Applicants

Certifications Required of Some Applicants

[back to top](#)

Grant Applicants

Program Guidelines

Connecting to Collections Statewide Implementation Grants -- FY 2011 Guidelines

Navigating the Grant Program Guidelines

[Home page](#)

[Contents](#)

You are currently on: Section One: General Information

[Section Two: Preparing and Submitting an Application](#)

[Section Three: IMLS Assurances and Certification](#)

General Information

About the Institute of Museum and Library Services

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

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

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

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

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

Museums and Libraries Strengthen 21st Century Skills

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

global awareness; and other 21st century skills.

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

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

Museums and Libraries Engaging America's Youth

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

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

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

Connecting to Collections: A Call to Action

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

For further information:

- Visit the *Connecting to Collections* Web site at www.imls.gov/collections; it is a rich resource with webcasts of convenings and links to a comprehensive list of online resources.
- Apply for funding to care for collections through the Conservation Project Support program and the Conservation Assessment Program.
- Stay tuned for more information about webinars that are being developed in cooperation with Heritage Preservation and the American Association for State and Local History.

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

About Connecting to Collections Statewide Implementation Grants

The agency invites proposals for statewide projects that build on the collaborations and partnerships developed through one of the previously funded Connecting to Collections Statewide Planning grants. Applicants should show how the planning process evolved and developed, and how the proposed project will address findings of that planning process. Emphasis is placed on the collaborative nature of the projects across the museum, library, and archive fields.

Projects should describe both short-term and long-term impacts of the project activities for collections stewardship across the state. Assessment of the results will be an integral part of the project, and awardees will be expected to measure and report widely on outputs, outcomes, findings, and products. Awards will be made to projects that can serve as models for other states that have begun their own planning process.

Note: For purposes of these guidelines, "state" and "statewide" refers, respectively, to each of the 50 U.S. States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

Web Conferencing with Program Staff

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

The webinar schedule for the Connecting to Collections Statewide Implementation Grant program is:

November 15, 2010, 3:00-4:00 p.m. Eastern Time

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

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

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

Please note that the schedule is subject to change. The week the webinar is scheduled, visit the [Connecting to Collections Statewide Implementation Grant program page](#) to confirm the date and time, and to find out more details about logging in to the system.

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

Eligibility

All applications are required to reflect multiple partnerships, including representatives of libraries, museums, archives, statewide service organizations and state agencies. Any U.S. nonprofit library or museum is eligible -- see library and museum eligibility below. In addition, a library or museum consortium or association is eligible to apply. Any single organization need not have statewide stewardship; this statewide perspective can be achieved through partnerships. More than one application may be submitted from an individual state but only one application per state will be funded. Individuals are not eligible to apply.

Library Eligibility

An eligible library applicant must be:

1. either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
2. located in one of the 50 states of the United States of America, the District of Columbia, the

Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and

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

Museum Eligibility

An eligible museum applicant must:

1. be either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
2. be located in one of the 50 states of the United States of America, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
3. qualify as:
 - a museum¹ that, using a professional staff,² (1) is organized on a permanent basis for essentially educational or aesthetic purposes; (2) owns or uses tangible objects, either animate or inanimate; (3) cares for these objects; and (4) exhibits these objects to the general public on a regular basis through facilities that it owns or operates³.

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

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

¹ 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.

² 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.

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

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

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

Partnerships

Partnerships are required for applications submitted to this program and should include one or more partners. The lead applicant in a partnership must be eligible to apply as an individual entity, and all members of a partnership should be active contributors to and beneficiaries of project activities.

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

By submitting the Partnership Statement with the application, the applicant affirms that (1) the partner is available and has agreed to participate, and (2) the Partnership Statement is true, complete, and accurate to the best of the applicant's authorized representative's knowledge. The applicant will ensure that each partner also provides a signed original version of the Partnership Statement to the applicant, and that this form will be made available to IMLS upon 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.

Application Review Process

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

How to Serve as a Reviewer

All competitive awards are reviewed by library and museum professionals who know the needs of communities, can share best practices, and are well versed in the issues and concerns of museums and libraries today. There are many benefits to volunteering to review applications. If you are selected to serve, you will help the Institute and the museum and library communities and strengthen the grant review

process. If you are interested in serving as a reviewer for the Institute, you can be included in our database of potential reviewers by submitting your information through our online reviewer forms at www.ims.gov/reviewers/reviewers.shtm.

Guidance for Projects That Develop Digital Products

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

Award Information

Application Deadline

The FY2011 deadline for Connecting to Collections Statewide Implementation Grants is December 15, 2010.

Project Start and End Date

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

Award Amounts

Connecting to Collections Statewide Implementation Grant awards range from \$ 50,000 to \$ 250,000

Cost Sharing

Applicants are encouraged to provide at least one third of the total project costs from nonfederal sources, but cost sharing is not required for these grants.

Award Announcements

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

Use of Funds

Allowable expenses for Connecting to Collections Statewide Implementation Grants include but are not limited to such items as

- Databases
- Supplies and postage
- Travel/mileage expenses
- Staffing of the project
- Consultants' fees
- Needs assessments
- Workshops and convenings

All proposed expenses must be justified in the application budget.

Unallowable Expenses for Connecting to Collections Statewide Implementation Grants include such items as

- Construction
- Acquisition of collections

- Contributions to endowments
- Social activities, ceremonies, or entertainment
- Pre-grant costs
- Collection conservation activities, including the purchase of storage equipment, HVAC systems, storage facilities, object treatment, or historic structure renovation. (For these activities, please see IMLS [Conservation Project Support guidelines](#) for possible eligibility.)

Project Evaluation

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

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

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

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

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

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

Copyright/Work Products

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

Digital Products

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

Grant Applicants

Program Guidelines

Connecting to Collections Statewide Implementation Grants -- FY 2011 Guidelines

Navigating the Grant Program Guidelines

[Home page](#)

[Contents](#)

[Section One: General Information](#)

You are currently on: Section Two: Preparing and Submitting an Application

[Section Three: IMLS Assurances and Certification](#)

Preparing and Submitting an Application

Grants.Gov information and instructions

Organizations that are applying under the December 15, 2010 deadline for the Connecting to Collections Statewide Implementation 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 December 15, 2010. The deadline date remains the same from year to year. Should the deadline fall on a Saturday, Sunday, or Federal holiday in a given year, the deadline will be extended to the next business day.

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

Find Grant Opportunities: www.grants.gov/applicants/find_grant_opportunities.jsp

- Basic search
- Browse by category
- Browse by agency
- Advanced search
- Subscriptions

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

- [STEP 1: Obtain D-U-N-S® Number](#)
- [STEP 2: Register with CCR](#)
- [STEP 3: Username & Password](#)
- [STEP 4: AOR Authorization](#)
- [STEP 5: TRACK AOR STATUS](#)

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
Connecting to Collections Statewide Implementation Grants package:**

**CFDA No: 45. 312
Funding Opportunity Number: CtoC-FY11**

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

1. *Download Application Instructions and IMLS forms:* This package contains a PDF version of these grant application guidelines (which include instructions for completing the application) and the IMLS forms such as the Program Information Sheet, the Detailed and Summary Budgets, the Partnership Statement, and any other forms related to this specific program. These IMLS forms may also be accessed [from the IMLS Web site](#).
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

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

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

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

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

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

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

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

Grants.gov Help

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

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

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

- 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 Acrobat® Reader® FAQs
- How to convert documents to PDF format: www.imls.gov/pdf/PDFConversion.pdf
- Download Adobe® Acrobat® software: Step 1 in 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: www.bpn.gov/ccr/handbook.aspx
 - CCR FAQs: www.ccr.gov/FAQ.asp

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

Five Tips for Working Successfully with Grants.gov:

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

Preparing an Application

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

Application Component Formats

An application requesting funding from the Connecting to Collections Statewide Implementation Grant

program must include material in the following formats:

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

For assistance in converting documents to PDF, visit www.imls.gov/pdf/PDFConversion.pdf.

Application Component Naming and Sequencing

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

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

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

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

Application Components

Attach in this Order	Component	Format	File name to use
n/a	The Application for Federal Assistance/Short Organizational Form SF-424S	Grants.gov form	n/a
n/a	Abstract (to be uploaded through Grants.gov)	Text document that you create	n/a
1st	Program Information Sheet	IMLS form Download here	Programinfo.pdf
2nd	Organizational Profile	PDF document	Organizationalprofile.pdf
3rd	Explanation of Budget Surplus/Deficit	PDF document	Surplusdeficit.pdf
4th	Narrative	PDF document	Narrative.pdf
5th	Schedule of Completion	PDF document	Scheduleofcompletion.pdf
6th 7th 8th	Detailed Budget form (by year, as appropriate)	IMLS form Download here	Detailedbudgetyear1.pdf Detailedbudgetyear2.pdf Detailedbudgetyear3.pdf
9th	Summary Budget form	IMLS form Download here	Summarybudget.pdf

10th	Federally negotiated Indirect cost rate form (if applicable)	PDF document	Indirectcostrate.pdf
11th	Budget Justification	PDF document	Budgetjustification.pdf
12th	List of key project staff and consultants	PDF document	Projectstaff.pdf
13th	Staff resumes (2 pages each, max)	PDF document	Resumes.pdf
14th 15th Etc.	Letter(s) of Commitment (if applicable)	PDF document	LetterOfCommitment1.pdf LetterOfCommitment2.pdf Etc.
16th	Partnership Statement (if applicable)	IMLS form Download here	Partners.pdf
17th	Proof of nonprofit status (if applicable)	PDF document	Proofnonprofit.pdf
18th	Specifications for Projects that Develop Digital Products form (if applicable)	IMLS form Download here	Specificationsdigital.pdf
19th 20th 21st Etc.	Supporting documentation (if applicable)	PDF Document	Supportingdoc1.pdf Supportingdoc2.pdf Supportingdoc3.pdf Etc.

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

1-4

These items are automatically filled in by Grants.gov.

5. Applicant Information

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

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

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

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 Connecting to Collections Statewide Implementation Grants:

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

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

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

The IRS uses this number to identify taxpayers that are required to file various business tax returns.

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

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

Organizations should verify that they have a D-U-N-S® Number or take steps to obtain one. Organizations can receive a DUNS number at no cost by calling the dedicated toll-free D-U-N-S® Number request line at 1-866-705-5711 or by visiting www.dnb.com/us. Ensure that the number entered here agrees with the number (either 9 or 13 digits) that was used with the CCR (Central Contractor Registry) as part of the Grants.gov registration.

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

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

6. Project Information

a. Project Title: Provide a brief descriptive title.

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

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

7. Project Director

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

8. Primary Contact/Grants Administrator

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

9. Authorized Representative

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

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

application.

Abstract

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

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

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

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

Program Information Sheet

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

1. Applicant Information

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

b. and c. Organizational Unit and Address:

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

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

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

2. Grant Program or Grant Program Category

Select project category listed under “c. Connecting to Collections: Statewide Grants – Implementation”

3. Request Information

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

b. Cost Share Amount: Enter the amount here. Applicants are encouraged to provide at least one third of the total project costs from nonfederal sources, but cost sharing is not required for these grants.

4. Museum Profile (Museum Applicants only)

Museum applicants must answer all questions in this section.

5. Partners Names

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

6–8

Applicants for Connecting to Collections Statewide Implementation Grants should skip these sections.

Explanation of Budget Surplus/Deficit (For museum applicants only)

If an applicant indicates a budget surplus or deficit for the two previous fiscal years on the Program

Information Sheet, an explanation to assist reviewers that does not exceed one-page in length must be provided. This explanation is intended to assist reviewers in evaluating the financial capacity of the applicant to complete the project activities.

Organizational Profile

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

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

Narrative

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

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

Statewide Implementation Grants will support projects that bring multiple collection -holding organizations together to address conservation needs in a collaborative manner. Successful proposals will include discussion of any previous statewide planning efforts; including Connecting to Collections Statewide Planning Grants and the results of those efforts.

Provide a detailed project description with supporting evidence that addresses the following topics:

1. *Need and Rationale*

Applicants should summarize the broad conservation needs within their state, commonwealth, or territory and provide a brief explanation of how these needs were determined. Describe the planning grant process, how the project and partnerships evolved throughout the process, and how results of the planning grants were prioritized.

2. *Project Design*

Describe the scope of the project, what organizations will be included as partners, project goals and activities, and the expected results for both individual institutions and the state. Describe any products that will result from the project. Describe partner institution responsibilities for the project's implementation. Describe the design, integration, and implementation of an assessment method that will measure project outputs, outcomes, findings, and products.

3. *Project Resources: Budget and Personnel*

Describe personnel who will carry out the project activities. Discuss the budget allocated to accomplish the project activities. Describe the plan for sustaining the results of the project activities through partnerships, collaboration, and commitment of resources and any anticipated long-term benefits or impacts to the State beyond the grant period.

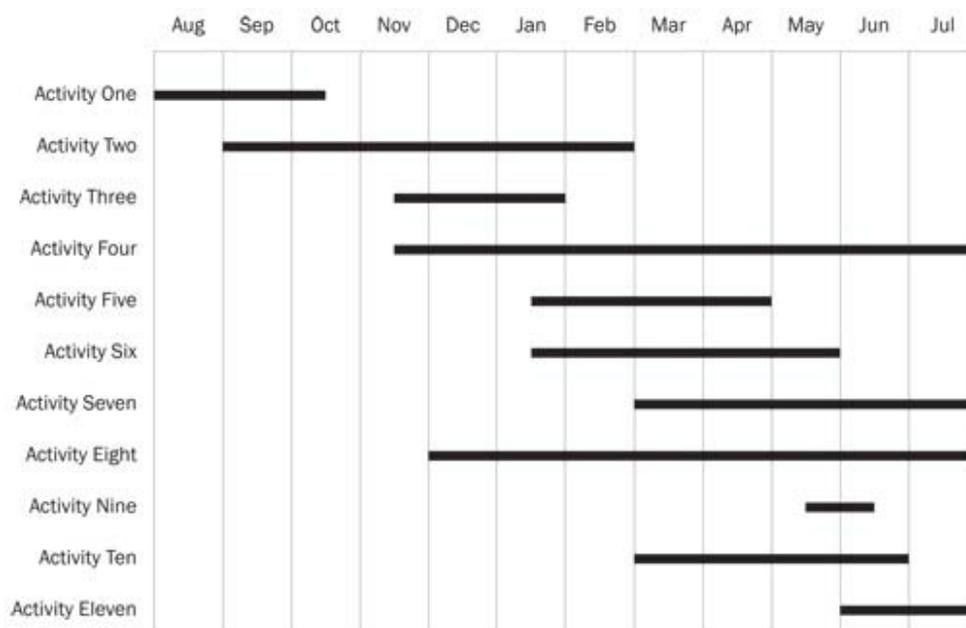
Evaluation Criteria: Reviewers will be asked to apply the following criteria in assessing the applications:

- the degree to which the project builds on previous planning efforts and will help the collecting institutions in the state to take steps that address one or more of the recommendations of the Heritage Health Index
- evidence that the process reflects strong collaboration involving appropriate representatives of libraries, museums, archives, and statewide organizations
- the degree to which the budget and personnel are sufficient to accomplish the specified tasks
- evidence that the project activities will have long-term results and benefits beyond the grant period
- extent to which this project could serve as a model to other states for collaborative collections stewardship activities.

Schedule of Completion

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

The chart shown here is a sample format. Applicants should prepare their own schedules in a format that supports their project most effectively. *Click image below for a larger view.*



Budget

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

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

Detailed Budget

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

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by cost sharing (from the applicant or other sources). In-kind contributions to cost sharing may include the value of services or equipment that is donated to the project. All of the items listed, whether supported by grant funds or cost-sharing, must be reasonably necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization. All revenues

generated with project funds during the grant period must be reported as program income and should be applied to the applicant's cost sharing. When indirect costs are charged to the project, care should be taken to ensure that expenses included in the organization's indirect cost pool (see "Indirect Costs" below) are not charged to the project as direct costs.

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

1. **Salaries and Wages:** Indicate both temporary and permanent staff by noting "temp" or "perm" in parentheses after each staff member listed.
2. **Fringe Benefits:** Fringe benefits may include contributions for Social Security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs. Fringe benefits may only be claimed on the portion of Salaries and Wages identified for this project.
3. **Consultant Fees:** List the individuals or groups who will provide consulting services for the project and their fees, and explain the method of computation for the fees.
4. **Travel:** The lowest available commercial fares for coach or equivalent accommodations must be used, and foreign travel must be undertaken on U.S. flag carriers when such services are available.
5. **Supplies and Materials:** In general, list the costs of material purchased specifically for the proposed project. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.
6. **Services:** List the costs of project activities to be undertaken by a third-party contractor, including a partner, under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. Attach a complete itemization of these costs to the IMLS Budget Form. If there is more than one contractor, list the cost of each contract separately on the IMLS Budget Form and include an attached itemization.
7. **Student Support:** Ignore this section. It does not apply to Connecting to Collections Statewide Implementation Grants.
8. **Other Costs:** Please do not use the "Other Costs" section to list items that did not fit in the number of lines allotted for another section. If more lines are needed for a specific section, the information should be summarized in the Detailed Budget Form and further explained in the Budget Justification.
9. **Total Direct Costs:** Add the subtotal amounts from the previous sections.
10. **Indirect Costs:** Indirect costs are project costs that an organization incurs that cannot be easily assigned to an individual project. They are also called "overhead" or "administrative costs." Examples of indirect cost type items are charges for utilities, insurance, use of office space and equipment owned by the applicant, local telephone service, and the salaries of the management and administrative personnel of the organization.
11. **Total Project Costs:** Complete the first line; ignore the second line, which is specific to another IMLS grant program.

Use of Indirect Cost Rates

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

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

An organization with an existing negotiated rate or an organization currently in the process of negotiating a rate agreement with another federal agency must calculate total project costs using an indirect cost rate

appropriate to the type of proposed project activity. For example, an organization may only calculate total project costs using an existing negotiated rate for research activity if the activity proposed to IMLS is a research project. Once an indirect cost rate is accepted by IMLS, this rate shall be considered fixed for the duration of the award even if, during the course of the award, the grantee negotiates a new indirect cost rate.

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

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

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

Summary Budget

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

Budget Justification

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

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

Specifications for Projects that Develop Digital Products

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

Partnership Statement

Complete a Partnership Statement for each formal partner involved in the proposed project and listed under Section 5 of the Program Information Sheet.

Applicants should save each Partnership Statement with a distinct file name that includes the word "*Partner*" and a short form of the partner's name—e.g., PartnerName1.pdf or

PartnerName2.pdf. Then add each document to the Attachments form, following the sequence in the Application Checklist. At the top of the 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 (if applicable)

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

6. Governing Control of Partner (if applicable)

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 the applicant will make this form available to IMLS if requested by IMLS.

List of Key Project Staff, Consultants, and Service Providers

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

Resumes of Key Project Staff, Consultants, and Service Providers

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

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

Letters of Commitment

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

Proof of Nonprofit Status

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

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

Federally Negotiated Indirect Cost Rate Agreement

If the organization has a federally negotiated indirect cost rate agreement that will be current at the time the project will begin then the applicant may submit this document and claim the approved rate on the IMLS budget forms.

Grant Applicants Program Guidelines

Connecting to Collections Statewide Implementation Grants -- FY 2011 Guidelines

Navigating the Grant Program Guidelines

[Home page](#)

[Contents](#)

[Section One: General Information](#)

[Section Two: Preparing and Submitting an Application](#)

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

IMLS Assurances and Certifications

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

Assurances Statement

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

Certifications Required of All Applicants

Financial, Administrative, and Legal Accountability

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

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

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the

provisions of applicable OMB Circulars.

Federal Debt Status

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

Debarment and Suspension

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

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

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

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

Nondiscrimination

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

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

Drug-Free Workplace

The authorized representative, on behalf of the applicant, certifies, as a condition of the award, that the applicant will or will continue to provide a drug-free workplace by complying with the requirements in 2 CFR part 1186 (Requirements for Drug-Free Workplace (Financial Assistance)). In particular, you as the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of 2 CFR part 3186, which adopts the Governmentwide implementation (2 CFR part 182) of sec. 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701-707).

This includes, but is not limited to: making a good faith effort, on a continuing basis, to maintain a drug-free workplace; publishing a drug-free workplace statement; establishing a drug-free awareness program for your employees; taking actions concerning employees who are convicted of violating drug statutes in the workplace; and identifying (either at the time of application or upon award, or in documents you keep on file in your offices) all known workplaces under your Federal awards.

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

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

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

making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement;

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

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

General Certification

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

Certifications Required of Some Applicants

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

Subcontracts

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

Native American Human Remains and Associated Funerary Objects

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

Historic Properties

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

Environmental Protections

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

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

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

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

Research on Human and Animal Subjects

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

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

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

[back to top](#)