

## Grant Applicants Program Guidelines

### Native Hawaiian Library Services -- FY 2011 Guidelines

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CFDA Number 45.311

**Application Deadline: May 16, 2011**

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

#### Dear Colleagues



I am pleased to present the guidelines for the FY 2011 Native Hawaiian Library Services grants provided by the Institute of Museum and Library Services. These guidelines contain the instructions you will need to prepare and submit an application.

The Institute's mission is to create strong libraries and museums that connect people to information and ideas. We work 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.

Native Hawaiian Library Services grants support projects that increase access to, and use of, Hawaiian language and cultural resources; improve children's reading skills; and help Native Hawaiians acquire literacy, computer, and employment skills. These funds may be used to create or support partnerships and electronic networks among all types of libraries, community-based organizations, and governmental bodies. We are especially interested in projects that are aimed at increasing access to information for people with diverse backgrounds and skill levels.

We are excited to see this grant program continue to improve library services to Native Hawaiians in FY 2011.

Sincerely,

Susan Hildreth  
Director, IMLS

#### Contact Information

For more information, call or write:

**Native Hawaiian Library Services Program Staff**

Alison Freese, Senior Program Officer

Phone: 202/653-4665  
E-mail: [afreese@imls.gov](mailto:afreese@imls.gov)

Kathy Mitchell, Program Specialist  
Phone: 202/653-4687  
E-mail: [kmitchell@imls.gov](mailto:kmitchell@imls.gov)

**Office of Library Services**

General phone: 202/653-4700

**Institute of Museum and Library Services**

1800 M Street, NW, 9th Floor  
Washington, DC 20036-5802  
General phone: 202/653-IMLS (4657)  
General e-mail: [imlsinfo@imls.gov](mailto:imlsinfo@imls.gov)  
Web site: [www.imls.gov](http://www.imls.gov)

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

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

**Office of Management and Budget Clearance Numbers**

Guidelines: OMB No. 3137-0029; Expiration Date: 8/31/2013  
Forms: OMB No. 3137-0071; Expiration Date: 8/31/2013

**Burden Estimates and Request for Public Comments**

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

Public reporting burden is estimated to average 25 minutes per response for the Program Information Sheet, and 3 hours per response for the Detailed Budget and Summary Budget. Send comments 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.

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#### General Information

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

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

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

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

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

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

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

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

The report helps libraries and museums align institutional mission, infrastructure, staff, and programming to engage communities in learning. The report has also spurred an agency-wide *21st Century Skills* initiative. This year, IMLS will continue hosting workshops around the country to help museums, libraries, and other community organizations identify and address 21st century skills needs in their communities. Also, look for additional resources on the IMLS Web site as well as a series of webinars and a public challenge seeking creative ideas for how museums and libraries can prepare their communities for the 21st century.

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

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

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

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

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

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

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

For further information:

- Visit the Connecting to Collections Web site at [www.imls.gov/collections](http://www.imls.gov/collections); it is a rich resource with webcasts of convenings and links to a comprehensive list of online resources.

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

### **Considering the Future of Libraries, Archives, and Museums**

IMLS is committed to helping museums, archives, and libraries across the country better understand their roles as providers of public service to communities. The Future of Libraries and Museums in the 21st Century planning meeting, held in 2008 in Washington, D.C., was convened by the National Academy of Sciences and supported by IMLS to bring together voices across and outside the library and museum fields to debate, discuss, and question the future of museums and libraries and gain insight into how the

conversation could unfold in subsequent discussions in the field at large. Leaders from across the disciplines in the library, archives, museum, research, scientific, technology, and education fields met to help define the central issues, challenges, and opportunities that libraries and museums are likely to face in the coming decades. That meeting spawned the 2009 IMLS publication, [The Future of Museums and Libraries: A Discussion Guide](#), and a subsequent 2010 online discussion of the central themes from that meeting (see <http://imlsupnext.wikispaces.com>). The Institute remains committed to exploration of this topic.

## **Native Hawaiian Library Services Grant Program**

**Deadline:** May 16, 2011

**Total anticipated funding available for 2011:** \$565,700

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

### **Purpose**

Native Hawaiian Library Services projects may enhance existing library services or implement new library services, particularly as they relate to the following goals in the updated IMLS statute (20 U.S.C. §9141):

- (1) expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages in order to support such individuals' needs for education, life-long learning, workforce development, and digital literacy skills<sup>1</sup>;
- (2) establishing or enhancing electronic and other linkages and improved coordination among and between libraries and entities, as described in 9134(b)(6), for the purpose of improving the quality of and access to library and information services;
- (3) (A) providing training and professional development, including continuing education, to enhance the skills of the current library workforce and leadership, and advance the delivery of library and information services; and  
(B) enhancing efforts to recruit future professionals to the field of library and information services;
- (4) developing public and private partnerships with other agencies and community-based organizations;
- (5) targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills;
- (6) targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line (as defined by the Office of Management and Budget and revised annually in accordance with section 9902(2) of title 42) applicable to a family of the size involved;
- (7) developing library services that provide all users access to information through local, State, regional, national, and international collaborations and networks; and
- (8) carrying out other activities consistent with the purposes set forth in section 9121[.]

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1. The term "digital literacy skills" means the skills associated with using technology to enable users to find, evaluate, organize, create, and communicate information. (20 U.S.C. §9101(2)).

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### **Eligibility**

Native Hawaiian Library Services grants are available to nonprofit organizations that primarily serve and represent Native Hawaiians (as the term is defined in 20 U.S.C. § 7517). The term "Native Hawaiian" refers to an individual who is a citizen of the United States and a descendant of the aboriginal people who, before 1778, occupied and exercised sovereignty in the areas that now comprise the State of Hawaii.

## **Application Review Process**

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants to obtain information needed to make an eligibility determination . If an applicant is determined ineligible, the agency will reject the application without evaluating the proposed project. Similarly, the agency will reject an incomplete application without subsequent evaluation of the proposed project. IMLS will notify the applicant if its application is rejected.

All eligible and complete applications are competitively reviewed through the agency's peer review process. Applications are evaluated by individual field review and/or panel review. IMLS draws its reviewer pool from professionals in the field who have relevant knowledge and expertise in the types of activities and organizations identified in the applications.

During the evaluation process, reviewers are instructed to evaluate the proposed projects according to the criteria identified in these guidelines. Accordingly, applicants should address all review criteria in their application narratives and include supporting materials in their submissions to the agency. The IMLS director makes funding decisions based on the reviewers' evaluations and the overall goals of this program and the agency.

## **Award Information**

### **Application Deadline**

The FY2011 deadline for Native Hawaiian Library Services grant applications is May 16, 2011.

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

Funds must be expended within the one-year grant period. The grant period begins October 1, 2011, and ends no later than September 30, 2012. A one-time, no-cost extension to the grant period may be made by the IMLS program officer. Extension requests must be made at least 30 days prior to the original grant ending date and should explain in detail the reason for the request. Grantees are cautioned that extensions are not automatic, and should not be requested solely because all of the award funds have not been expended.

### **Award Amount**

**Total amount available for the 2011 Native Hawaiian Library Services grant program: \$565,700**

More than one grant may be awarded. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than that requested .

### **Award Announcement**

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

### **Use of Funds**

Native Hawaiian Library Services grant funds may be used only for costs directly related to the proposed project, such as costs for salaries for library personnel, library materials (including books, journals, electronic resources, and equipment), library project supplies, furnishings, telecommunication services and equipment, and fees for participation in networks and consortia that provide the library with direct services. General office supplies are considered indirect costs and should not be requested as direct costs. No more than 15 percent of the granted funds may be used for indirect costs, unless the applicant has a current, federally negotiated indirect cost rate. IMLS and government-wide administrative, cost, and audit rules and requirements apply, including appropriate OMB circulars, and regulations.

IMLS expects that funds will support projects that provide services to the public. If an applicant is requesting funding for services or materials to which access is restricted, it must submit its access policy with the application, explaining what percentage of materials would be restricted and providing a

justification for the restricted access.

### **Limits on Use of Funds**

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, or pre-grant costs. All listed expenses, including all cost sharing, must be incurred during the grant period. IMLS and government-wide administrative, cost, and audit rules and requirements apply, including appropriate OMB Circulars, and regulations.

### **Cost Sharing**

**Cost sharing is encouraged but not required in this program.** 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.

**IMLS does not allow federal funds to be used for cost sharing. The limitation on using federal funding as cost share applies to salaries, equipment, services, etc., funded by federal dollars.** If personnel or resources funded directly or indirectly by federal dollars are a part of the project design and/or management plan, their role should be described in the application narrative.

**All cost-sharing expenses must be incurred during the grant period, not before or after. Tribes must maintain documentation of cost sharing for reporting purposes to IMLS.** In-kind contributions may be used for cost sharing if they specifically relate to the proposed grant project. If any funds are to be contributed as cost share by sources other than the applicant or its official partners, the applicant must identify whether the commitment of funds is assured or pending. If the funds are assured, the applicant should include a letter from the source affirming its commitment. If the funds are not assured, the applicant should describe its plan for meeting the promised cost share from other sources in the event that the pending funds are not received. IMLS and government-wide administrative, cost, and audit rules and requirements apply, including appropriate OMB Circulars, and regulations.

Cost sharing may comprise:

- cash contributions: funds allocated directly to the project by the applicant or a third party, and
- in-kind contributions: the value of noncash contributions provided by the applicant or a third party, e.g., staff time (if salaries are not paid with federal funds), volunteer time, materials and supplies, and services.

**Indirect costs may be used as cost sharing.** Indirect costs, often referred to as overhead costs, are not attributable to a specific project or activity of an organization. Costs such as rent (if space is owned by the applicant), utilities, and insurance are considered indirect costs and will not be accepted as direct costs requested from IMLS, or as part of direct cost in-kind contributions if an indirect cost rate or the 15 percent administrative fee is charged to the project.

### **Maintenance of Effort**

An organization receiving a Native Hawaiian Library Services program grant must expend the same amount for library services, exclusive of the grant amount, during the grant period that was expended in the 12-month period immediately preceding the grant period.

### **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.

**Guidance for Projects That Develop Digital Products**

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

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#### Preparing and Submitting an Application

##### Grants.Gov information and instructions

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

Organizations that are applying under the May 16, 2011, deadline for the Native Hawaiian Library Services grant program must submit their applications through Grants.gov, the federal government's online application system. The Grants.gov system will accept applications through 11:59 p.m. eastern time on May 16, 2011.

While the deadline is May 16, 2011, IMLS recommends strongly that applicants REGISTER EARLY and COMPLETE AND SUBMIT THE APPLICATION EARLY. All applicants who are using Grants.gov must register with Grants.gov before submitting the application. The multistep registration process generally cannot be completed in a single day. Applicants who are not already registered should allow at least two weeks to complete this one-time process. DO NOT WAIT UNTIL THE WEEK OF THE APPLICATION DEADLINE TO REGISTER.

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

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

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

Use one of the following identifiers to locate the  
Native Hawaiian Library Services grant application package:

CFDA No: 45.311

Funding Opportunity Number: NAG- HAWAIIAN-FY11

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

#### Grants.gov Help

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

For direct assistance with Grants.gov, contact the Grants.gov help desk via e-mail at [support@grants.gov](mailto:support@grants.gov), or call Grants.gov at 1-800-518-4726. Grants.gov help hours are 24 hours a day, seven days a week;

closed on federal holidays. Please keep this in mind when submitting an application with a Monday deadline.

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

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

- Start early! Go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp) to register. Use Grants.gov resources at [www.grants.gov/applicants/applicant\\_faqs.jsp](http://www.grants.gov/applicants/applicant_faqs.jsp). The Grants.gov Web site has checklists, FAQs, and online tutorials to assist you in preparing your organization to submit applications. You should also utilize the Central Contractor Registration (CCR) user's guide at [www.bpn.gov/ccr/doc/CCRUsersGuide.pdf](http://www.bpn.gov/ccr/doc/CCRUsersGuide.pdf). Please note that your CCR registration must be renewed annually.
- Consider designating more than one Authorized Organization Representative (AOR) for your organization when you register. This will help to avoid last-minute crises in the event that a single AOR is unavailable when you are ready to submit your application. This person might not be the same person that you list as the authorized representative for IMLS. Also, you should update the AOR at Grants.gov each year or when staff at your organization changes.
- Make technological choices that help you.
  - Download the most recent version of Adobe® Acrobat® Reader® onto your computer for best results. Make sure to submit all documents in Adobe® PDF format.
  - Convert your documents into PDFs, using one of the tools available here: [www.grants.gov/help/download\\_software.jsp#pdf\\_conversion\\_programs](http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs)
  - Use Internet Explorer® for your browser when submitting the application to Grants.gov. Mozilla® Firefox® and Apple Safari® are not currently compatible with this process.
- Contact Grants.gov help ([www.grants.gov/help/help.jsp](http://www.grants.gov/help/help.jsp) or 1-800-518-4726) for assistance with hardware and software issues, registration issues, or technical problems. Contact your program officer for assistance with guidelines, eligibility, timeline, or other program issues. Grants.gov help hours are 24 hours per day, seven days per week, excepting federal holidays.

### Preparing an Application

#### Application Component Formats

An application requesting funding from the Native Hawaiian Library Services grant program must include material in the following formats:

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

For assistance in converting documents to PDF, visit  
[http://www.grants.gov/help/download\\_software.jsp#pdf\\_conversion\\_programs](http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs)

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

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

The table that follows lists the format required for each component, and the naming convention for application components. **The SF- 424s and the Abstract are Grants.gov forms that will automatically**

**be saved as PDFs.**

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

**Application Components**

Component	Format	File name to use
<a href="#">Application for Federal Assistance/Short Organizational Form SF-424S</a>	Grants.gov form	n/a
<a href="#">Abstract ( to be uploaded through Grants.gov)</a>	Text document that you create	n/a
<a href="#">Program Information Sheet</a>	IMLS PDF form	Programinfo.pdf
<a href="#">Narrative</a>	PDF document	Narrative.pdf
<a href="#">Schedule of Completion</a>	PDF document	Scheduleofcompletion.pdf
<a href="#">Detailed Budget form</a>	IMLS PDF form	Detailedbudgetyear1.pdf
<a href="#">Summary Budget form</a>	IMLS PDF form	Summarybudget.pdf
<a href="#">Federally negotiated Indirect cost rate form (if applicable)</a>	PDF document	Indirectcostrate.pdf
<a href="#">Budget Justification</a>	PDF document	Budgetjustification.pdf
<a href="#">List of key project staff and consultants</a>	PDF document	Projectstaff.pdf
<a href="#">Resumes of key project staff and consultants (two pages each, maximum)</a>	PDF document	Resumes.pdf
<a href="#">Specifications for Projects that Develop Digital Products form (if applicable)</a>	IMLS PDF form	Digitalproducts.pdf
<a href="#">Long-Range Plan</a>	PDF document	Longrangeplan.pdf
<a href="#">Proof of nonprofit status</a>	PDF document	Proofnonprofit.pdf
<a href="#">Proof of eligibility</a>	PDF document	Eligibility.pdf
<a href="#">Supporting documentation (if applicable)</a>	PDF Document	Supportingdoc1.pdf Supportingdoc2.pdf Supportingdoc3.pdf Etc.

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

**1–4**

Items 1–4 on form SF-424s are filled in automatically by Grants.gov.

**5. Applicant Information**

a. Legal Name: Enter the legal name of the organization that is making the application. Please see

[Eligibility](#) for eligibility details.

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 [www.usps.com/zip4](http://www.usps.com/zip4).

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

d. Type of Applicant: Select the one code that best characterizes the applicant organization from the menu in the first dropdown box. Leave the other boxes blank.

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

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

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

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

Organizations should verify that they have a D-U-N-S® Number or take steps to obtain one. Organizations can receive a D-U-N-S® Number at no cost by calling the dedicated toll-free D-U-N-S® Number request line at 1-866-705-5711 or by visiting [www.dnb.com/us](http://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](http://www.house.gov) and use the "Find Your Representative" tool.

## 6. Project Information

a. Project Title: Provide a brief descriptive title for the proposed project.

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. Project Start Date/End Date: For Native Hawaiian Library Services grant projects, enter the beginning date of October 1, 2011, and the ending date of September 30, 2012.

## 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. **The project director should not be the same person as the authorized representative.** Leave the Social Security Number space 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. 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 and skip to item 9. (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 Certifications](#)). All written correspondence will be addressed to the authorized representative.

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

## 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:

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

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

## Program Information Sheet

### 1. Applicant Information

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

b. and c. Organizational Unit and Address: Enter the name and address of the library that will administer the grant, if different from the applicant. 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 box for "Native American Tribe/Native Hawaiian Organization."

### 2. Grant Program or Grant Program Category

Select the box next to "Native Hawaiian Library Services" listed under 'j. Native American/Native Hawaiian Library Services.'

### 3. Request Information

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

b. Cost Share Amount: Enter the amount here, if applicable.

**4-5.** Applicants for Native Hawaiian Library Services should skip sections 4 and 5.

**6. Native Hawaiian Organization Eligibility:** Select the box for yes or no, as appropriate.

**7-8.** Applicants for Native Hawaiian Library Services grants should skip sections 7-8.

## Narrative

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

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

The following pages provide guidance on preparing the narrative component of the Native Hawaiian Library Services grant application. There are four sections to the narrative:

1. Assessment of Need
2. Project Design and Evaluation Plan
3. Project Resources: Budget, Personnel, and Management Plan
4. Impact and Intended Results

Applicants must address each section and related review criteria separately, and in the order in which they are listed above. These criteria describe what the reviewers are instructed to consider as they evaluate the proposal. A well-designed proposal narrative is thorough and succinct while addressing the bullet points under each section.

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. Sample application narratives may be found at [www.ims.gov/applicants/sample.shtm](http://www.ims.gov/applicants/sample.shtm).

## Application Review Criteria

### 1. Assessment of Need

Include an assessment of need as it relates to the community and the library. Include information such as the following:

- a description of the community,
- the current status of the library, including baseline data that will be used to measure success of outcomes at project completion,
- what needs will be met by the goals of this project, and
- how those needs were determined.

### 2. Project Design and Evaluation Plan

Include a description of the proposed project plan. Include information such as the following:

- clear goals and objectives,
- action steps and activities to implement the project,
- evidence that the project is of sufficient scope to create positive changes in library services to the community,
- a plan to monitor and assess the project's progress,
- a plan to evaluate the impact of the project (i.e., measurement of outcomes for each objective, measurement of community satisfaction, and documentation of final results, both expected and unexpected), and
- a plan to maintain and continue the positive changes after the period of federal funding.

### 3. Project Resources: Budget, Personnel, and Management Plan

Describe the resources that will be made available to complete the proposed project. Include information such as the following:

- evidence that the applicant will effectively complete the project activities through the deployment and management of resources, including money, facilities, equipment, and supplies,
- evidence that the project personnel demonstrate appropriate experience and expertise and will

- commit adequate time to accomplish project goals and activities,
- a description of reporting relationships for personnel and oversight responsibilities for the project,
- other federal or nonfederal resources that will be used to carry out the proposed project, and
- evidence of a record of sound financial planning and management.

#### 4. Impact and Intended Results

Describe the impact and intended result of the proposed project. Include information such as the following:

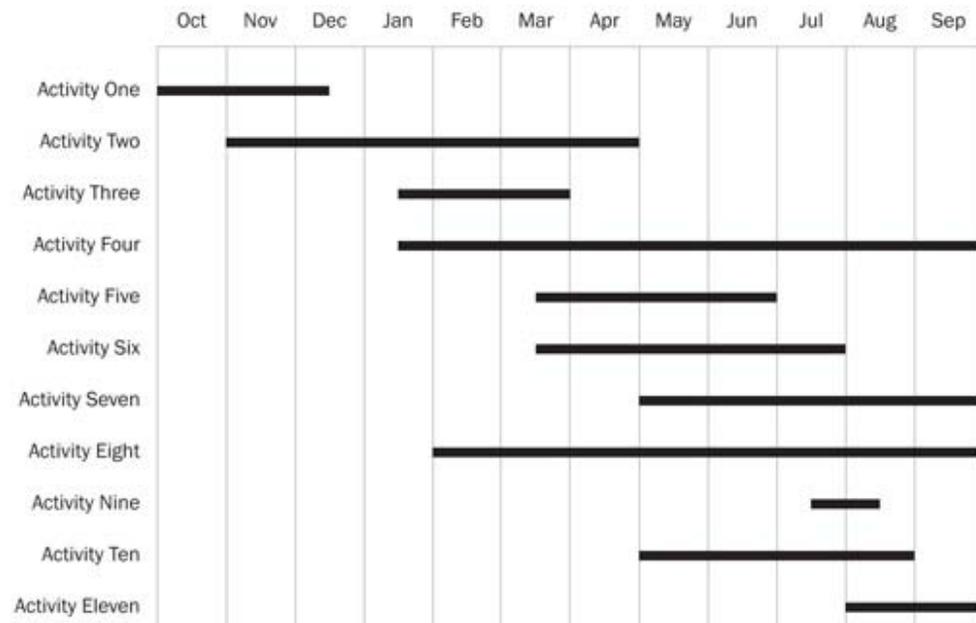
- how this project will affect library services to your community,
- any innovative approaches that will be used,
- what aspects of this project could be replicated by other native libraries, and
- how the project results and lessons learned will be disseminated locally and to the Native Hawaiian library community at large.

#### PLEASE NOTE

**For projects that develop digital products:** If a digitization project is proposed, please incorporate relevant information into the responses to the above criteria. Also, the [Specifications for Projects That Develop Digital Products](#) form must be completed and submitted with the application.

#### Schedule of Completion

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



#### Budget

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

- Detailed Budget
- Summary Budget
- Budget Justification

- Summary Budget
- Budget Justification

### Detailed Budget

Applicants need to fill out a copy of the 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: Applicants must include in the "Grant funds" column a lump sum of \$2, 500 per year for travel to attend an IMLS-designated meeting.** The lowest available commercial fares for coach or equivalent accommodations must be used, and foreign travel must be undertaken on U.S. flag carriers in accordance with the IMLS General Terms and Conditions for IMLS Discretionary Grants (see [www.imls.gov/pdf/GTC\\_0410.pdf](http://www.imls.gov/pdf/GTC_0410.pdf)).
5. **Supplies and Materials:** In general, list the costs of material purchased specifically for the proposed project. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.
6. **Services:** List the costs of project activities to be undertaken by a third-party contractor, including a partner, under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. Include a complete itemization of these costs as part of the Budget Justification. If there is more than one contractor, list the cost of each contract separately on the Detailed Budget form and include all itemizations in the Budget Justification.
7. **Student Support:** Skip this section. It does not apply to Native Hawaiian Library Services grant applicants.
8. **Other Costs:** Please do not use the "Other Costs" section to list items that did not fit in the number of lines allotted for another section. If more lines are needed for a specific section, the information should be summarized in the Detailed Budget form and explained in the Budget Justification.
9. **Total Direct Costs:** Add the subtotal amounts from the previous sections.
10. **Indirect Costs:** Indirect costs are project costs that an organization incurs that cannot be easily assigned to an individual project. They are also called "overhead" or "administrative costs." Examples of indirect cost-type items are charges for utilities, insurance, use of office space and equipment owned by the applicant, local telephone service, and the salaries of the management and administrative personnel of the organization.
11. **Total Project Costs:** Complete the first line; ignore the second line, which is specific to another IMLS grant program.

### Use of Indirect Cost Rates

If an organization applying for an IMLS grant already has an existing negotiated indirect cost rate in effect with another federal agency, this rate may be used to calculate total project costs, as long as the rate is applied in accordance with the terms of the negotiated agreement, and a copy of the negotiated

agreement is included as supporting documentation with the IMLS application. IMLS will not accept an indirect cost rate that is scheduled to expire before an award is issued.

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

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

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

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.

### **Summary Budget**

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

### **Budget Justification**

The budget justification is a narrative document that explains and gives further detail about all Detailed Budget form line items. For example, the budget justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses. The application should provide specifications for all hardware and software for which IMLS funding is requested. Any costs that were consolidated and summarized in the detailed budget form should be itemized and explained within the appropriate section of the budget justification. The format of the budget justification should follow the section headings on the Detailed Budget form. The document must not exceed two pages in length.

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

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

Provide a one-page list of the key staff, consultants, and service providers who will be involved directly in the project. In deciding which people or service providers to include, if they appear in the budget, they should be listed.

## Resumes for List of Key Project Staff, Consultants, and Service Providers

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

Note: If the key project personnel cannot 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.

## 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.

## Long-Range Plan

To help ensure that library services meet current local needs and to help applicants develop strategies to build services that will be needed in the future, IMLS requires that the applicant submit a long-range plan with the application.

The plan should identify community needs and how the library will address those needs. **The submission of a long-range plan does not imply automatic funding for the years covered in the plan, nor does it imply the availability of grant funds past the stated grant period.**

The long-range plan submitted in 2011 must cover the period October 2011–September 2014. The long-range plan must state the library's mission and goals, and the programs and activities that will be implemented to achieve those goals. The long-range plan should also include an evaluation plan that will demonstrate progress toward reaching the library's goals. Visit the IMLS Web site at [www.ims.gov/pdf/11\\_longrangeplan.pdf](http://www.ims.gov/pdf/11_longrangeplan.pdf) to see a sample plan and a glossary of terms. Use the outline below to create a long-range plan.

1. Mission statement
2. Statement of need #1
  - a. Assessment of need
  - b. Expected outcome (for example, positive changes in library users' knowledge, skills, and abilities)
  - c. Project goal(s)
  - d. Project design and required resources, including:
    - Activities, services, and products (outputs); and
    - Resources needed to succeed (inputs); and
    - Proposed timeline for grant activities
  - e. Evaluation methods
    - (1) Output targets
    - (2) Outcome targets
3. Statement of need #2

- a. Assessment of need
- b. Expected outcome
- c. Project goal(s)
- d. Project design and required resources, including:
  - Activities, services, and products; and
  - Resources needed to succeed; and
  - Proposed timeline for grant activities
- e. Evaluation methods
  - (1) Output targets
  - (2) Outcome targets

[Add more needs statements as appropriate.]

In addition, the document must

- include the applicant organization's name at the top of each page ,
- have a margin of at least 0.5 inch on all sides,
- have each page numbered, and
- use a 12-point typeface or larger with no more than six lines per vertical inch and standard spacing between the letters. Condensed fonts or handwritten documents are not acceptable.

IMLS supports and encourages the use of an evaluation tool called outcome-based evaluation (OBE). This system of measuring results replaces the question, "What activities did we carry out?" with the question, "What changed as a result of our work?" A focus on measuring outcomes—the effect of an institution's activities and services on the people it serves—rather than on the services themselves (outputs) is an emerging keystone of library programs. Additional information about OBE is available on the IMLS Web site at [www.imls.gov/applicants/obe.shtm](http://www.imls.gov/applicants/obe.shtm) or on request from IMLS. See also "Shaping Outcomes: Making a Difference in Libraries and Museums," an online tutorial, at [www.shapingoutcomes.org](http://www.shapingoutcomes.org).

### **Proof of Nonprofit Status**

Applicants and any partners must submit proof of nonprofit status, which may be either (1) 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; or (2) an official document identifying the organization as a unit of state or local government. If prepared specifically for this application, the certification must be on the parent organization's letterhead and certified by an official of the parent organization. IMLS will not accept a letter of sales tax exemption as proof of nonprofit status.

### **Proof of Eligibility**

Applicants must submit proof that they are eligible nonprofit organizations that primarily serve and represent Native Hawaiians (as the term is defined in 20 U.S.C. § 7517). As proof of eligibility, applicants must submit the organization's charter documents, including the organization's articles of incorporation. Applicants may provide additional proof of eligibility.

### **Supporting Documentation**

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

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

## Grant Applicants

### Program Guidelines

#### Native Hawaiian Library Services -- FY 2011 Guidelines

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#### Navigating the Grant Program Guidelines

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#### IMLS Assurances and Certifications

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

#### Assurances Statement

By signing the application form, the authorized representative, on behalf of the applicant, assures and certifies that, should a grant be awarded, the applicant will comply with the statutes outlined below and all related IMLS regulations (see 45 C.F.R. Chapter XI and 2 C.F.R. Chapter XXXI). These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the 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 C.F.R. part 3186 (Requirements for Drug-Free Workplace (Financial Assistance)). In particular, you as the recipient must comply with drug-free workplace requirements in subpart B (or subpart C, if the recipient is an individual) of 2 C.F.R. part 3186, which adopts the Governmentwide implementation (2 C.F.R. part 182) of sec. 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701-707).

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

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

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

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

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

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

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

#### **General Certification**

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

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

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

#### **Subcontracts**

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

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

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

#### **Historic Properties**

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

#### **Environmental Protections**

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

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

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

or potential components of the national wild and scenic rivers system.

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

**Research on Human and Animal Subjects**

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

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

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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).

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