

Grant Applicants Program Guidelines

Native American Library Services Basic Grant and Basic Grant with Education/Assessment Option Program -- FY 2011 Guidelines

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CFDA Number 45.311

Application Deadline: March 1, 2011

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

Dear Colleagues



On behalf of the Institute of Museum and Library Services (IMLS), I am pleased to share with you the 2011 Native American Library Services Basic Grant guidelines. Federally recognized tribes and Alaska Native villages and corporations may apply for these grants in either the Basic or the Basic with Education/Assessment Option categories. These noncompetitive grants are designed to support traditional core library services in tribal communities across the country. The supplemental Education/Assessment Option provides funds for continuing education opportunities for library staff and on-site library assessments. Please note that IMLS now publishes the Basic Grant guidelines separately from the competitive Enhancement Grant guidelines.

In 2010, IMLS supported 31 tribes with Native American Library Services Basic Grants and 190 tribes with Basic Grants with Education/Assessment Option, for a total of \$1.5 million. These grants funded myriad programs, from expanding library collections, to enhancing computers and Internet access, to providing important cultural programs as well as after-school activities for teenage youth. This year we hope to serve even more libraries with this important grant program.

I invite you to read over these guidelines, contact IMLS staff with any questions you might have, and consider applying for funding. We look forward to hearing from you.

Sincerely,

Marsha L. Semmel
Acting Director, IMLS

Contact Information

For more information, call or write:

Native American Library Services Program 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: 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 2 hours per response for a Basic Grant, 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.

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.imls.gov.

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

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

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

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

Museums and Libraries Strengthen 21st Century Skills

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

awareness; and other 21st century skills.

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

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

Museums and Libraries Engaging America's Youth

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

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

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

Connecting to Collections: A Call to Action

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

For further information:

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

The Institute's partners for *Connecting to Collections* include Heritage Preservation, the American Association for State and Local History, the American Institute for the Conservation of Historic and Artistic Works, the Getty Foundation, the Luce Foundation, Bank of America, the Kress Foundation, United Parcel

Service, the National Endowment for the Arts, the National Endowment for the Humanities, and the President's Committee on the Arts and the Humanities, among others.

Considering the Future of Libraries, Archives, and Museums

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

About the Native American Library Services Grant Program

The Institute of Museum and Library Services is pleased to invite applications for the 2011 Native American Library Services grant program. These guidelines reflect recognition of a history of sound service by the precursor to this program within the U.S. Department of Education, the expressed needs of former program participants, and the opinions of representatives of Indian tribes and Alaska Native villages and corporations.

The Native American Library Services grant program marks new opportunities for improved library services for an important part of the nation's community of library users. The IMLS Native American Library Services grant program offers the following types of support to serve the range of needs of Indian tribes and Alaska Native villages and corporations.

Basic Grants and Basic Grants with Education/Assessment Option

Basic Grants are non-competitive grants that are available to support existing library operations and to maintain core library services. The purposes of the supplemental Education/Assessment Option are to provide funding for library staff to attend library-related continuing education courses and training workshops on- or offsite; for library staff to attend or give presentations at conferences related to library services; and to hire a consultant for an onsite professional library assessment. The 2011 Basic Grant deadline is March 1, 2011.

Enhancement Grants (separate guidelines anticipated to be available January 2011)

Enhancement Grants are competitive grants to support activities to advance the applicant library's operations to new levels of service for activities specifically identified in the Library Services and Technology Act. These competitive grants are intended to encourage the implementation of both mainstream and innovative library practices.

A tribe must submit a Basic Grant application in the same fiscal year to be eligible to apply for an Enhancement Grant. The 2011 Enhancement Grant application deadline is May 2, 2011.

Conference Call with IMLS Native American Library Services Staff

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

Wednesday, January 19, 2011, 4:00–5:00 p.m. EST

Please check the Native American Library Services Basic Grant Web page (www.imls.gov/applicants/grants/nativeAmerican.shtml) for details and the toll-free conference call number.

Eligibility

Indian tribes, Alaska Native villages, regional corporations, and village corporations are eligible to apply for

funding under the Native American Library Services grant program. Entities such as libraries, schools, tribal colleges, or departments of education are not eligible applicants, although they may be involved in the administration of this program and their staff may serve as project directors, in partnership with an eligible applicant.

For purposes of funding under this program, "Indian tribe" means any tribe, band, nation, or other organized group or community, including any Alaska Native village, regional corporation, or village corporation (as defined in or established pursuant to the Alaska Native Claims Settlement Act [43 U.S.C. § 1601 et seq.]), which is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. A list of eligible entities is available from the Bureau of Indian Affairs, except for the recognized Alaska Native villages, regional corporations, and village corporations, which should refer to applicable provisions in the Alaska Native Claims Settlement Act, referenced above. The same population cannot be served by more than one Basic Grant.

Minimum Requirements of Library Service

Applicants will be required to document ongoing levels of library services in the "Institutional Profile" section of the application (see Program Information Sheet, item 7). At a minimum, an applicant should be able to document an existing library that meets three basic criteria: (1) regularly scheduled hours, (2) staff, and (3) materials available for library users.

Program Goals

Basic Grant funds may be used to support existing library operations and to maintain core 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 skills¹;
- (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, as described in the State library administrative agency's plan.

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)).

Award Information

Application Deadline

The FY2011 deadline for Native American Library Services Basic and Basic with Education/Assessment Option grants is March 1, 2011.

Duration of Grant

The grant period begins October 1, 2011, and ends September 30, 2012. Grants are for one year; no extensions are permitted. A new application is required each fiscal year.

Grantees are expected to complete work on grant activities by the end of the grant period. It is therefore the policy of this program that grant periods will not be extended and that grant funds that are not obligated by the end of the grant period must be returned to IMLS. **A final performance report must be submitted to IMLS no later than December 29, 2012.**

Award Amounts

The estimated Basic Grant award for FY 2011 is \$6,000. The estimated Basic Grant with Education/Assessment Option award amount is \$7,000, which includes the \$6,000 Basic Grant and a supplemental amount of \$1,000 for eligible education and assessment activities. The final amounts will be determined after all applications have been received and eligibility has been determined. **No cost share is required.**

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 applicants of final decisions in June 2011.

Use of Funds

Basic Grant funds may be used for such costs as

- salary for library personnel,
- materials, supplies, and equipment (including books, journals, electronic resources library supplies, furnishings, computers and other equipment),
- services (computer- or library-related consultants, training of library personnel in addition to or in lieu of training funds requested under the Education/Assessment Option), and
- other items such as Internet access charges and fees for participation in networks and consortia that provide the library with direct services.

Education/Assessment Option funds may be used

- for library staff to attend library-related continuing education courses and training workshops on- or offsite,
- for library staff to attend or give presentations at conferences related to library services, and
- to hire a consultant for an onsite professional library assessment.

All grant activities, such as public programs, assessments, conference travel, and workshops, must occur within the grant period. Funds for library materials and equipment must be obligated by September 30, 2012, and paid for by 90 days after the end of the award period, which is December 29, 2012. **Funds may not be transferred from the Part B Education/Assessment Option to Part A to supplement core library services.**

If Education/Assessment Option funds remain after planned grant activities are completed, the remaining funds may be used to enhance library services based on knowledge of resources gained through continuing education, conference attendance, or consultants' recommendations (for example, recommended additional library materials or new computer technology) as long as the funds are spent or obligated by the end of the grant period (October 1, 2011 through September 30, 2012) and fully expended within 90 days after the close of the grant period.

Limits on Use of Funds

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, pre-grant costs, or indirect costs. IMLS and governmentwide administrative, cost, and audit rules and requirements apply, including appropriate OMB Circulars.

Maintenance of Effort

The Basic Grant is not intended to replace funds allocated for library services by the tribe. An Indian tribe receiving a Basic Grant should 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.

Payment, Accounting, Management, and Reporting Procedures

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

Grant recipients are required to submit a Final Financial and Performance Report no later than December 29, 2012. Details regarding grant administration are located on the IMLS Web site at www.imls.gov/recipients/administration.shtml under "Reporting Requirements: Native American Library Services Basic Grants." A grantee that does not submit the final report by the due date will jeopardize its eligibility to receive future IMLS grants. Any funds that have not been obligated within the grant period (October 1, 2011, through September 30, 2012) and expended within 90 days after the close of the grant period must be returned to IMLS.

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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 March 1, 2011, deadline for the Native American Library Services Basic 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 March 1, 2011. 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.

IMPORTANT INSTRUCTIONS FOR BASIC GRANT APPLICANTS:

An eligible Indian tribe ([see eligibility details](#)) must submit the application for the Basic Grant through Grants.gov with the electronic signature of an Authorized Organization Representative (AOR) of the tribe. Tribal libraries and other entities administering the Basic Grant should coordinate with a tribal AOR concerning the Grants.gov application process. Applications that are not submitted by an eligible Indian tribe through Grants.gov will not be accepted.

While the deadline is March 1, 2011, 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

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

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

Use one of the following identifiers to locate the
Native American Library Services Basic Grant package:

CFDA No: 45.311

Funding Opportunity Number: NAG-BASIC-FY11

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

IMLS to ensure that their application was successfully logged.

Grants.gov Help

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

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

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

Tips for Working Successfully with Grants.gov:

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

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.

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

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

Application Components

Component	Format	File name to use
Application for Federal Assistance/Short Organizational Form SF-424S	Grants.gov form	n/a
Program Information Sheet	IMLS PDF form	Programinfo.pdf
Part A—Project Budget for Basic Grant	IMLS PDF form	Basicbudget.pdf
Part B—Project Budget for Education/Assessment Option	IMLS PDF form	Optionbudget.pdf
Long-range plan	PDF Document	Longrangeplan.pdf

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.
- c. Web Address: Enter the Web address of the legal applicant.
- d. Type of Applicant: Select the box next to “Indian /Native American Tribal Government (Federally Recognized).”
- 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.

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: Enter "2011 Basic Grant" or "2011 Basic Grant with Education/Assessment Option," as appropriate.

b. Project Description: Enter "2011 Basic Grant" or "2011 Basic Grant with Education/Assessment Option," as appropriate.

c. Proposed Project Start Date/End Date: Enter "October 1, 2011" and "September 30, 2012," respectively.

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. For colleges and universities, this person is often a sponsored research, sponsored programs, or contracts and grants officer. Leave the Social Security Number space blank. Select the appropriate prefix (even though this field is not required on Grants.gov).

In some organizations, particularly smaller ones, this individual may be the same as the project director. If this is the case, check the "Same as Project Director" box 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.

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

Under "j. Native American/Native Hawaiian Library Services," select either "Basic Grant only" or "Basic Grant with Education/Assessment Option," as appropriate.

3. Request Information

a. IMLS Funds Requested: Enter the amount sought from IMLS—either \$6,000 for the Basic Grant or \$7,000 for the Basic Grant with Education/Assessment Option.

b. Cost Share Amount: Applicants for Basic Grants should skip "b." No cost share is required.

4–6

Applicants for Basic Grants should skip sections 4-6.

7. Institutional Profile

Please provide complete information for all items (a through j) in this section.

For (i.), "Supported Activities," check all applicable boxes next to the activities that will be supported by the grant. These activities are the focus of the Library Services and Technology Act (LSTA) and are not listed in priority order.

For (j.), "Maintenance of Effort," check the one box that most appropriately corresponds to the applicant tribe's level of maintenance of effort for library services in the past year. IMLS Native American Library Services grants are not intended to replace funds allocated for library services by the tribe. A tribe receiving an IMLS Native American Library Services grant should expend the same amount or more for library services during the grant period (excluding the grant amount) than was expended in the 12-month period immediately preceding it.

8.

Applicants for Basic Grants should skip section 8.

Budgets

The Budget forms are available [on the IMLS Web site](#) and on Grants.gov.

Part A—Project Budget for Basic Grant

Prepare a Basic Grant project budget based on the total amount of \$6,000, no more and no less. Spending categories include library personnel; materials, supplies, and equipment; services (e.g., consultants, trainers, storytellers); and other items such as Internet and consortium fees. No indirect costs are permitted. See the sample project budget at the bottom of the form for guidance.

Part B—Project Budget for Supplemental Education/Assessment Option

If the Education/Assessment Option is requested, prepare an Education/Assessment Option project budget for \$1,000, no more and no less. Spending categories include library-related continuing education and training for library personnel, library-related conference attendance, and onsite professional library assessment. No indirect costs are permitted. See the sample project budget at the bottom of the form for guidance.

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.

A long-range plan is required each year that a Basic Grant application is submitted. 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. It should include all library goals, not just those planned for the Basic Grant funds.

The long-range plan should include an evaluation plan that will demonstrate progress toward reaching the library’s goals. Visit the IMLS Web site at www.imls.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.ims.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.

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Grant Applicants

Program Guidelines

Native American Library Services Basic Grant and Basic Grant with Education/Assessment Option Program -- FY 2011 Guidelines

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IMLS Assurances and Certifications

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

Assurances Statement

By signing the application form, the authorized representative, on behalf of the applicant, assures and certifies that, should a grant be awarded, the applicant will comply with the statutes outlined below and all related IMLS regulations (see 45 C.F.R. Chapter XI and 2 C.F.R. Chapter XXXI). These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the 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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