

# ACTIVATING COMMUNITY OPPORTUNITIES USING MUSEUMS/LIBRARIES AS ASSETS – A NATIONAL LEADERSHIP GRANTS SPECIAL INITIATIVE

## FY 2018 NOTICE OF FUNDING OPPORTUNITY

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# Activating Community Opportunities Using Museums/Libraries as Assets

## FY 2018 NOTICE OF FUNDING OPPORTUNITY

<b>Federal Awarding Agency:</b>	Institute of Museum and Library Services
<b>Funding Opportunity Title:</b>	Activating Community Opportunities Using Museums/Libraries as Assets—A National Leadership Grants Special Initiative
<b>Announcement Type:</b>	Notice of Funding Opportunity
<b>Funding Opportunity Number:</b>	NLG-SI-CC-FY18
<b>Catalog of Federal Financial Assistance (CFDA) Number:</b>	45.312
<b>Due Date:</b>	Submit through Grants.gov by 11:59 p.m. U.S. Eastern Time on May 14, 2018.
<b>Anticipated Date of Notification of Award Decisions:</b>	August 2018 (subject to the availability of funds and IMLS discretion)
<b>Beginning Date of Period of Performance:</b>	Projects must begin on October 1

## Equal Opportunity

IMLS-funded programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, email the Civil Rights Officer at [CivilRights@imls.gov](mailto:CivilRights@imls.gov) or write to the Civil Rights Officer, Institute of Museum and Library Services, 955 L'Enfant Plaza North, SW, Suite 4000, Washington, DC, 20024-2135.

## A. Program Description

### A1. What is this special initiative?

The goal of the National Leadership Grant Programs (NLG) is to support projects that address significant challenges and opportunities facing the library, archive, and museum (LAM) fields and have the potential to advance theory and practice. Activating Community Opportunities Using Museums/Libraries as Assets is a special NLG initiative with the goal of examining how LAMs can work with their communities to leverage their unique abilities to affect positive community change. Successful projects will demonstrate how LAMs can provide trusted spaces for, and learn from, ongoing community dialog to facilitate the discovery of mutual understanding and shared goals among individuals.

In addition, successful projects will demonstrate the viability of using and adapting existing approaches gleaned from the collective impact, social well-being, and community development arenas. A range of approaches are currently being employed in these fields that could be helpful as potential applicants consider their proposed projects.

For general reference, please see Appendix Seven for a non-exhaustive list of examples of such approaches.

## **A2. What are indicators of successful projects?**

Successful projects can encompass various components of initiating community work—including identifying the community opportunity and need, increasing collective understanding of the issues, and generating viable ideas for solutions—that are appropriate to the applicant’s community context. Proposed activities should demonstrate a likelihood that the project will lay the groundwork for a breakthrough in addressing a community opportunity that is more effective, equitable, or sustainable than existing approaches, and will have the potential to enhance the quality of LAM services nationwide.

Mapping assets, examining publically available data, and inclusion of multiple community voices and expertise can be viable approaches to identify opportunities that build upon community momentum. Projects must involve libraries or museums, and address community interests and needs.

We look to you to identify and define your community. We are especially interested in projects that individuals and families from diverse geographic, cultural, and socioeconomic backgrounds and to individuals with disabilities, and communities who may or may not be current audiences or stakeholders but who may benefit from economic development and revitalization (depending on the particular community opportunity being addressed). We encourage applications that benefit communities within areas that are designated as Federal Promise Zones, as of the time your proposal is submitted.

Overall, for this Notice of Funding Opportunity, we are seeking inclusive, collaborative, and resourceful projects that will pursue collective solutions to a community challenge and that can enhance the quality of LAM services nationwide.

- **Inclusive:** meaningfully engaging key stakeholders by thoughtfully identifying those needed to create the intended change and, whenever possible, including those directly affected by the problem
- **Collaborative:** a true joint effort, with museums, libraries, and other partners willing to share ownership and decision making as they pursue a vision for change together
- **Resourceful:** using existing resources and assets creatively to make the most of what already exists in a community

Applicants should also keep in mind the following general indicators of successful for National Leadership Grants projects as follows:

- *Project-based Design:* The work plan consists of a set of logical, interrelated activities tied directly to addressing the key need or challenge identified in the application.

- *Demonstrable Results:* The project generates measurable results that tie directly to the need or challenge it was designed to address.
- *Broad Impact:* The project has potential for far-reaching impact beyond the institution and for influencing practice across one or more disciplines or specific fields within the LAM profession.
- *Current Significance:* The proposal should appropriately address a critical emergent issue facing LAMs, and be positioned to catalyze efforts across the field.
- *Innovative Approach:* The project employs novel approaches or techniques new to the project area to strengthen and improve library, archive or museum services to benefit the audiences and communities being served.
- *Collaborative Process:* Proposals should involve key stakeholders and partners necessary to ensure it can succeed and have broad impact from a variety of domains and sectors.
- *Shared Results:* The project generates results such as models, new tools, research findings, services, practices, and/or alliances that can be widely used, adapted, scaled or replicated to extend and leverage the benefits of Federal investment.

### **A3. What are the IMLS agency-level goals?**

The mission of the Institute of Museum and Library Services (IMLS) is to inspire libraries and museums to advance innovation, lifelong learning, and cultural and civic engagement. We provide leadership through research, policy development, and grant making.

U.S. museums and libraries are at the forefront in the movement to create a nation of learners. As stewards of cultural and natural heritage with rich, authentic content, libraries and museums provide learning experiences for everyone. In FY2018, each award under this program will support one of the following three goals of the [IMLS strategic plan](#), *Creating a Nation of Learners*:

- IMLS places the learner at the center and supports engaging experiences in libraries and museums that prepare people to be full participants in their local communities and our global society.
- IMLS promotes museums and libraries as strong community anchors that enhance civic engagement, cultural opportunities, and economic vitality.
- IMLS supports exemplary stewardship of museum and library collections and promotes the use of technology to facilitate discovery of knowledge and cultural heritage.

The goals focus on achieving positive public outcomes for communities and individuals; supporting the unique role of museums and libraries in preserving and providing access to collections and content; and promoting library, museum, and information service policies that ensure access to information for all Americans.

IMLS places importance on diversity and inclusion. This may be reflected in a project in a wide range of ways, including efforts to serve: individuals of diverse geographic, cultural, and socioeconomic backgrounds; persons with disabilities; persons with limited functional literacy or information skills; individuals having difficulty using a library or museum; underserved urban and rural communities; and children from families with incomes below the poverty level. This may also be reflected in efforts to recruit future professionals in the library or museum fields as well as strategies in building or enhancing access to collections and information.

## **A4. What is of special interest for this initiative?**

There are five areas of interest within this special initiative. Your project should align with one or more of them.

### **Adaptable Models for Joint Efforts to Engage and Serve a Local Community**

IMLS is interested in proposals for community-based projects that develop and explore models for co-creating, deepening, and sustaining joint efforts to engage and serve a local community. The intent is for LAMs to identify, at a local level, what factors, resources, partnerships, and practices can best combine to create an ideal environment for engaging and serving their communities. This effort should include combinations of cultural, public, nonprofit, educational institutions, foundations, local governments, or private organizations focused on community reinvestment and improvement.

We seek to understand how LAMs can build off of what has worked previously and incorporate collective impact, social well-being, and community development principles into their work to create projects that use the strengths of LAMs to bolster the assets of their communities. Ideally, such learnings would be exemplified in a local community, demonstrating viable approaches that have impact, and could be replicated in a model or series of models that the LAM field could apply to their own communities and could use to enhance the quality of library and museum services nationwide. In short, we believe that using a deeply collaborative and asset-based community development approach may further deepen the impact that LAMs can have in their communities.

Proposals should address how LAM institutions can move beyond episodic or institutionally defined outreach efforts to identifying their role as significant contributors within broader community initiatives. Traditionally defined outreach activities can be unidirectional and not often based on commonly defined opportunities. Through the proposed activities supported by this special initiative, applicants should explicitly demonstrate how the community representatives will be equally involved with the LAM institution(s) in visioning and planning, collecting and interpreting relevant data, communicating with stakeholders, and tracking joint program activities. In addition, the applicant's strategic plan (see D2a) submission should indicate how the proposed project fits within overall institutional strategies, opportunities and priorities.

The desired outcome is to further the abilities of LAM institutions to:

- Proactively assess the best role for themselves within the context of their local community's assets (e.g. resources, skills, experiences) for creating meaningful positive community change,
- Define and implement plans and activities developed together with their communities that can best achieve sustained community improvement, and
- Identify how community development activities will fit within their strategic goals and yearly activities to support mission achievement.

### **Broadening Reach into New Communities with Existing and Potential Partners**

A community level approach builds on many years of proactive and evidence-based projects that have enabled LAM institutions to broaden their reach into and engagement with the communities of which they are a part. We seek to support those projects that purposefully engage not just current

audiences but also those individuals, stakeholders, and partner organizations that reflect an entire community, especially those who are underserved. We do not seek proposals that focus on large-scale generation of new data, collections curation activities, implementation, further scaling of current community-based programs offered by LAMs, or technology solutions for gathering existing community data, digitizing, or providing access to collections information. However, we do seek projects that could enhance the quality of library and museum services nationwide by including some of these activities as they are demonstrated on a local community level.

Proposed projects under this funding opportunity should identify existing momentum for local community improvement activities by describing key groups, organizations, or institutions that are already championing and supporting change, as well as identifying other groups or less organized entities that hold key assets that could be included in the community improvement efforts. Applicant claims of existing momentum must be supported with evidence, such as newspaper clippings, notes from city council meetings, or letters of support from stakeholders. Successful projects will build on pre-existing and tangible momentum toward local community improvement by applying LAM-specific skills, convening abilities, and standing in their communities to create step-by-step processes to achieve positive community change.

Successful projects will learn from and document their engagement experiences and, in doing so, create a new generation of best practices and usable approaches for use by other LAM institutions in achieving broad community impact. Any products resulting from this initiative should be adoptable by and adaptable to LAM institutions of various sizes, disciplines, and resources. The outcomes of this funding opportunity is intended to benefit both the local LAM institution that receives the award and the broader LAM field.

### **Community Buy-in and Asset Mapping**

Applicants should demonstrate how they will engage a broad range of community members in conversations about where they live; encourage and empower individuals to speak, leaders to listen, and coalitions to form; and facilitate calculated risk-taking that supports efforts to create better places to live. They must present a strong case for buy-in from the community and key stakeholders to the proposed project plan and goals. Evidence of such buy-in must include letters of support that indicate that community members or partnering community organizations will provide non-Federal resources to offset hard project costs as part of, or in addition to, the applicant's required 1:1 cost share. Examples of this include letters from local print shops or schools committing to pay costs for printing, or local community foundations committing to pay part of the salary for project director or for a percentage of the cost for facility rental. Such costs may be subject to compliance with 2 CFR part 200 (Uniform Guidance). (For additional details regarding Letters of Support, see Section D.2.)

Applicants should also present a methodology for asset mapping with their community and identify those activities, community stakeholders, and partners which might yield the greatest impact. **Prior to submission**, we encourage applicants to have: conducted a preliminary analysis of existing publicly available data as well as institutional and partner data; engaged those who may not be part of current audiences, stakeholders, or supporters; and strategically identified and deployed partnerships that complement the LAM institution's distinctive assets. (See Narrative section below for additional details.)

It is essential that project staff define the constructs and associated plan for applying those constructs that are key for successfully achieving their project's goals, including but not limited to community asset mapping, needs assessment (both qualitative and quantitative), partnership identification, or establishing mechanisms for ongoing impact evaluation. Institutions should leverage their unique assets, relationships, and networks within a community-wide context to initiate and support broader community engagement.

### **Sharing Findings and Project Evaluation**

Grantees are expected to publicly share their project findings with IMLS, the field, and other grantees funded under this initiative. Applicants should build into their project plans time for working with a third-party evaluator anticipated to be provided by IMLS (subject to the availability of funds and IMLS discretion) through periodic teleconferences, email, and in-person gatherings.

This evaluator would collectively evaluate the work of all projects funded through this special opportunity and may independently assess a range of activities throughout the active period of your grant period of performance. The evaluator would use techniques to help teams refine their project and capture important processes and innovative enhancements. These would likely fall into two major areas: (a) process focus, such as understanding your planning process, methods of engaging and communicating with community members and stakeholders, and approaches to monitoring your progress toward achieving the project's goal(s); and (b) construct focus such as understanding how you are utilizing frameworks and models based on collective impact methodologies and social wellbeing indicators, applying community assessment tools such as asset mapping and relevant data collection, and the evolution and types of relationships employed with other community entities/partners. These two areas are illustrative only, not comprehensive in relation to the scope of the evaluation.

Note: applicants are reminded that they must monitor, track, and assess their progress toward meeting their individual project's performance goals in addition to planning to work with a third party evaluator anticipated to be provided by IMLS (for additional details regarding Performance Goals, see Section D.2).

### **Opportunities to Link with Economic Development Efforts**

In addition to receiving funding through this special IMLS initiative, applicants may have the opportunity to be considered for EPA technical assistance through the Environmental Protection Agency's "Building Blocks: Sustainable Strategies for Small Cities and Rural Areas and Supporting Equitable Development" ("Building Blocks") program: <https://www.epa.gov/smartgrowth/building-blocks-sustainable-communities>.

Through the Environmental Protection Agency (EPA) Building Blocks program, EPA would potentially provide EPA technical assistance to selected communities and their library/museum partners to identify local barriers to smart growth. In addition, work through the Building Blocks program would explore how libraries, museums, and other community institutions can play a central role in anchoring and catalyzing economic development efforts, promoting equitable access, and revitalizing downtowns and existing neighborhoods. The EPA Building Blocks workshops could also help participants understand the basic principles of smart growth and potential changes the community

could adopt to promote compact, walkable communities that encourage investment in existing neighborhoods and benefit the entire community.

Each community/library/museum participant would gain a concrete set of goals and actions for identifying ways they can partner together to strengthen their economies and communities, while maintaining their distinctive character. This EPA approach helps small cities and towns in rural areas evaluate their zoning codes, policies, and programs, allowing them to prioritize strategies and identify next steps that can move their communities closer to their economic, social, and environmental goals.

During the preparation of your proposal, you should determine if you feel that your project would benefit from the support offered by EPA's Building Blocks program. If the answer is yes, your proposal should clearly indicate (see below) that you wish to be considered for this type of assistance.

Those EPA-provided technical assistance activities typically encompass Building Blocks tools such as:

- An agenda, presentations, and exercises that help facilitate discussion around a given topic.
- Data or information from the community that can be analyzed, helping to drive a conversation.
- An action-oriented process that leads to a set of potential next steps.

Each Building Blocks project would typically include:

- Public engagement through a one- to two-day workshop conducted by experts on topics directly relevant to the community (see sample approaches and sample prior projects on this webpage <https://www.epa.gov/smartgrowth/building-blocks-sustainable-communities-past-recipients-and-tools>).
- Direct consultation with relevant decision-makers in the community.
- A memo outlining specific steps the community could take to implement the ideas generated during the workshop.
- (from <https://www.epa.gov/smartgrowth/building-blocks-sustainable-communities>).

Please Note: The Building Blocks program is intended to help enhance your community activities. It is separate from the IMLS award you would receive. If you indicate that you are interested in the Building Blocks program, IMLS will forward your application to EPA. EPA would consider your interest in the Building Blocks program and, dependent upon available funding and EPA discretion, enter into a separate arrangement with you to provide EPA technical assistance. Please do not include Building Blocks activities, timeline, or budget materials in your application to IMLS because these would be separate from the award you would receive from IMLS. If you are interested in being considered for this type of EPA technical assistance, please:

- Indicate your interest within the project narrative by stating either "We are interested in being considered for EPA Building Blocks technical assistance" or "We are not interested in being considered for EPA Building Blocks technical assistance."
- Do not include any Building Blocks' activities within the context of your detailed Community Catalyst project plan, tasks, budget or proposed timeline.

Should you be accepted for the EPA Building Blocks program, your organization would then negotiate an arrangement with EPA directly for provision of Building Block's tools. You would receive EPA

technical assistance directly from EPA at no cost; for this reason no federal funds would be transferred to your organization by IMLS for EPA's Building Blocks activities.

[Click here for samples of recently funded applications](#) in the Community Catalyst special initiative.

*Note: There are also funding restrictions that could affect the eligibility of a project; please consult Section D6 below for details.*

## **A5. Where can I find additional examples of projects funded by this program?**

[Click here to search awarded grants by program, category, and/or key word.](#)

## **A6. Where can I find the authorizing statute and regulations for this funding opportunity?**

**Statute:** 20 U.S.C. § 9101 et seq.; in particular, § 9162 (National Leadership Grants) and § 9171 – 9173 (Museum Services ).

**Regulations:** 45 C.F.R. ch. XI and 2 C.F.R. ch. XXXI

*Note: You are required to follow the IMLS regulations that are in effect at the time of the award.*

*Note: The Office of Management and Budget (OMB) guidance on Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) can be found at 2 C.F.R. pt. 200. With certain IMLS-specific additions, IMLS regulations at 2 C.F.R. pt. 3187 formally adopt the 2 C.F.R. pt. 200 Uniform Guidance.*

## **B. Federal Award Information**

<b>Total amount of funding expected to be awarded through this announcement</b>	\$2,000,000	
<b>Anticipated number of awards</b>	15	
<b>Expected amounts of individual awards</b>	\$25,000–\$150,000	1:1 cost share required
<b>Average amount of funding per award experienced in previous years</b>	\$136,000	
<b>Anticipated start dates for new awards</b>	Not earlier than October 1, 2018. Projects must begin on October 1, 2018.	
<b>Anticipated period of performance</b>	October 2018–September 2020. Project activities may be carried out for one to two years.	

<b>Type of assistance instrument</b>	Grant
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The funding in the above Federal Award Information table is subject to the availability of funds and IMLS discretion. IMLS is not bound by any estimates in this announcement.

Applications for renewal or supplementation of existing projects are not eligible to compete with applications for new awards.

Contingent upon the availability of funds, the quality of applications, and IMLS discretion, IMLS may make additional awards from the list of unfunded applications from this competition.

## C. Eligibility Information

### C1. What are the eligibility requirements for this special initiative?

The information below outlines eligibility requirements for a Library Entity, Museum Entity, Community Entity, or Institution of Higher Education. Some institutions may be eligible under more than one category of eligibility. An institution will not be asked to identify as a Library, Museum, Community Entity, Institution of Higher Education, but will be asked to identify the organization type on the SF-424S and the organizational unit type on the Program Information Sheet (Section 1f).

#### (A) Library Entity

To be eligible as a Library Entity, you must meet all three of the following criteria:

1. You must be either a unit of State or local government or be a private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
2. You must be located in one of the 50 States of the United States of America, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
3. You must qualify as one of the following:
  - o a library or a parent organization, such as a school district, a municipality, a State agency, or an academic institution, that is responsible for the administration of a library. Eligible libraries include public libraries, public elementary and secondary school libraries, college (including community college) and university libraries, research libraries and archives that are not an integral part of an institution of higher education and that make publicly available library services and materials that are suitable for scholarly research and not otherwise available. Research libraries must be under the supervision of at least one permanent professional staff librarian and be either generally recognized as possessing unique, scholarly research materials and services that are made available to the public, or able to demonstrate that such is the case when submitting an application to IMLS;

- a private library or other special library, but only if the State in which it is located determines that the library should be considered a library for purposes of Library Services and Technology (see 20 U.S.C. 9121-9165);
- an academic or administrative unit, such as a graduate school of library and information science that is part of an institution of higher education through which it would make application;
- a digital library, if it makes library materials publicly available and provides library services, including selection, organization, description, reference, and preservation, under the supervision of at least one permanent professional staff librarian;
- a library agency that is an official agency of a State or other unit of government and is charged by the law governing it with the extension and development of public library services within its jurisdiction;
- a library consortium that is a local, statewide, regional, interstate, or international cooperative association of library entities that provides for the systematic and effective coordination of the resources of eligible libraries, as defined above, and information centers that work to improve the services delivered to the clientele of these libraries; or
- a library association that exists on a permanent basis; serves libraries or library professionals on a national, regional, State, or local level; and engages in activities designed to advance the well-being of libraries and the library profession.

## **(B) Museum Entity**

To be eligible as a Museum Entity, you must meet all three of the following criteria:

1. You must be either a unit of State or local government or be a private, nonprofit organization that has tax-exempt status under the Internal Revenue Code;
  2. You must be located in one of the 50 States of the United States of America, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
  3. You must qualify as one of the following:
    - (a) A museum that, using a professional staff, is organized on a permanent basis for essentially educational or aesthetic purposes; owns or uses tangible objects, either animate or inanimate; cares for these objects; and exhibits these objects to the general public on a regular basis through facilities that it owns or operates.
- **What types of institutions are included in the term “museum”?**

If they otherwise meet these requirements, “museums” include, but are not limited to, aquariums, arboretums, art museums, botanical gardens, children’s/youth museums, general museums (those having two or more significant disciplines), historic houses/sites, history museums, natural history/anthropology museums, nature centers, planetariums, science/technology centers, specialized museums (limited to a single distinct subject), and zoological parks.
  - **What does it mean to be “using a professional staff”?**

An institution uses a professional staff if it employs at least one staff member, or the full-time equivalent, whether paid or unpaid, primarily engaged in the acquisition, care, or exhibition to the public of objects owned or used by the institution.

- **What does it mean to “exhibit the objects to the general public”?**

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

- An institution which does not have the exhibition of objects as a primary purpose and/or does not exhibit objects to the public for at least 120 days a year may be determined to be eligible as a museum under certain circumstances. For more information, please see 2 C.F.R. § 3187.3.
- (a) An organization or association that engages in activities designed to advance the well-being of museums and the museum profession.
- (b) An institution of higher education, including public and nonprofit universities.
- (d) A public or private nonprofit agency which is responsible for the operation of a museum that meets the eligibility criteria in 1, 2, and 3(a) above may apply on behalf of the museum.

### **If my museum is located within a parent organization, can my museum apply on its own?**

A museum located within a parent organization that is a State or local government or multipurpose nonprofit entity, such as a municipality, university, historical society, foundation, or cultural center, may apply on its own behalf if the museum:

- is able to independently fulfill all the eligibility requirements listed in the above three criteria (B1, B2, and B3);
- functions as a discrete unit within the parent organization;
- has its own fully segregated and itemized operating budget; and
- has the authority to make the application on its own.

When any of the last three conditions cannot be met, a museum may only apply through its parent organization.

### **Is a nonprofit organization eligible if it is affiliated with a museum?**

IMLS may determine that a nonprofit organization that is affiliated with a museum is eligible for this program where the organization can demonstrate that it has the ability to administer the project and can ensure compliance with the terms of this Notice of Funding Opportunity and the applicable law, including the [IMLS Assurances and Certifications](#). The applicant organization must submit an agreement from the museum that details the activities that the applicant and museum will perform and binds the museum to the statements and assurances made in the grant application.

### **(C) Community Entity**

To be eligible as a Community Entity, you must meet all four of the following criteria:

1. You must be either a unit of State or local government or be a private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
2. You must be located in one of the 50 States of the United States of America, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau;
3. You must have expertise and experience in library, archive, or museum projects, and ensure that appropriate professionals in these areas will administer and carry out your project; and
4. You must have expertise and experience in one or more of the following areas: Federal, State, or private grants related to community development (including enhanced services, mechanisms for equitable access, or social impact investing).

#### **(D) Institute of Higher Education**

To be eligible as an Institution of Higher Education, you must meet the criteria of 20 U.S.C. §1001.

#### **(E) Other Information Regarding Eligibility**

Native American tribal organizations may apply if they otherwise meet the above eligibility requirements.

*Note: Please consult Section D below to see if documentation must be submitted to support an eligibility determination (proof of private, nonprofit status as determined by the Internal Revenue Service, if applying as a private, nonprofit institution). Note that there are also funding restrictions that could affect the eligibility of a project; please consult Section D6 below for details.*

## **C2. What are the cost-sharing requirements for this special initiative?**

For the Activating Community Opportunities Using Museums/Libraries as Assets special initiative, a 1:1 cost share is required. Costs for IMLS required travel should not be included in the cost share totals.

*Note: Cost sharing that appears in your project budget should be carefully calculated. Grantees are expected to meet their cost share commitments.*

[Click here for further information on cost sharing.](#)

## **C3. Other Information**

### **C3a. How many applications can we submit under this announcement?**

An applicant organization may submit more than one application to this special initiative, if they have both a library and a museum as part of their structure.

### **C3b. What if our organization fails to meet an eligibility criterion by the time of the application deadline?**

IMLS will not review applications from ineligible applicants. We will notify you if your application will not be reviewed because your institution is determined to be ineligible.

### **C3c. What if our organization fails to meet an eligibility criterion at the time of award?**

IMLS will not make awards to ineligible applicants. In order to receive an IMLS award, you must be eligible, be in compliance with applicable requirements, and be in good standing on all active IMLS awards.

## **D. Application and Submission Information**

### **D1. How can we find the application package?**

This announcement contains all application materials needed to apply. Use one of the following identifiers to locate the application package in Grants.gov:

- CFDA No. 45.312, or
- Funding Opportunity Number: NLG-SI-CC-FY18

#### **D1a. Can we request an audio recording of this announcement?**

Upon request, we will provide an audio recording of this publication. Use Teletype (TTY/TDD) (for persons with hearing difficulty): 202-653-4614.

#### **D1b. Can we request a paper copy of this announcement?**

Upon request, we will provide a paper copy of this publication. Call 202-653-4789.

### **D2. What content and form are required to make a complete application?**

The Table of Application Components below will help you prepare a complete application. You will find links to more information and instructions for each application component in the table. Applications missing any required documents or conditionally required documents from this list will be considered incomplete and will be rejected from further consideration.

#### **D2a. Table of Application Components**

<b>Component</b>	<b>Format</b>	<b>File name to use</b>
<b>Required Documents</b>		
<a href="#"><u>The Application for Federal Assistance/Short Organizational Form (SF-424S)</u></a>	Grants.gov form	n/a

<u>Abstract (one page max.)</u>	PDF document	Abstract.pdf
<u>IMLS Program Information Sheet</u>	IMLS PDF form	Programinfo.pdf
<u>Organizational Profile (one page max.)</u>	PDF document	Organizationalprofile.pdf
<u>Strategic Plan Summary (two pages max.)</u>	PDF document	Strategicplan.pdf
<u>Narrative (ten pages max.)</u>	PDF document	Narrative.pdf
<u>Schedule of Completion (one page per year max.)</u>	PDF document	Scheduleofcompletion.pdf
<u>IMLS Budget Form</u>	IMLS PDF form	Budget.pdf
<u>Budget Justification</u>	PDF document	Budgetjustification.pdf
<u>List of Key Project Staff and Consultants (one page max.)</u>	PDF document	Projectstaff.pdf
<u>Resumes of Key Project Staff and Consultants that appear on the list above (two pages each max.)</u>	PDF document	Resumes.pdf
<u>Digital Product Form</u>	IMLS PDF form	Digitalproduct.pdf
Letters of Support	PDF document	Letters of Support1.pdf Letters of Support2.pdf Letters of Support3.pdf
<b>Conditionally Required Documents</b> Please check the guidance in Section D2d to see if these conditions apply to your organization		
<u>Proof of Private, Nonprofit Status</u>	PDF document	Proofnonprofit.pdf
<u>Final Federally Negotiated Indirect Cost Rate Agreement</u>	PDF document	Indirectcostrate.pdf
<b>Supporting Documents</b>		
<u>Information that supplements the narrative and supports the SF-424 project description</u>	PDF document	Supportingdoc1.pdf Supportingdoc2.pdf Supportingdoc3.pdf

## **D2b. How should we format, name, and sequence the application components?**

**Document format:** Aside from the SF-424S, which is created in Grants.gov, all application components must be submitted as PDF documents.

**Page limits:** Note page limits listed in the table above. We will remove any pages over the limit, and we will not send them to reviewers as part of your application.

**Naming convention:** Use the naming conventions indicated in the table above. **IMPORTANT:** You are limited to using the following characters in all attachment file names: A-Z, a-z, 0-9, underscore (\_), hyphen (-), space, period. If you use any other characters when naming your attachment files, your application may be rejected.

**Attachment order:** In Grants.gov, attach all application components in the sequence listed in the table above. Use all available spaces in the "Attachments Form" first. Attach any additional application components using the "Other Attachment File(s)" boxes.

**Complete applications:** Use the table above as a checklist to ensure that you have created and attached all necessary application components.

*Note: Each document you create must be converted to a PDF before you submit it.*

## D2c. Required Documents

### 1. The Application for Federal Domestic Assistance/Short Organizational Form (SF-424S)

The SF-424S is part of the application package that you download from Grants.gov. [Click here for instructions on completing the SF-424S.](#)

### 2. Abstract

Write this one-page document, addressing the following, and save it as a PDF:

- Who is the lead applicant and, if applicable, who are the collaborators?
- What need, problem, or challenge will your project address, and how was it identified?
- What are the activities you will carry out and in what time frame?
- Who or what will benefit from your project?
- What are your project's intended outcomes?
- How will you measure your success in achieving your intended outcomes?

This abstract may be used for public information purposes, so it should be written in a concise narrative format for experts as well as a general audience. The abstract must not include any proprietary or confidential information.

### 3. IMLS Program Information Sheet

Download and complete the [IMLS Program Information Sheet](#) (PDF 1.42MB). Click here for instructions on completing the IMLS Program Information Sheet. See Appendix Four for instructions for completing the IMLS Program Information Sheet.

### 4. Organizational Profile

Create a one-page organizational profile and save it as a PDF. [Click here for instructions on creating an organizational profile.](#)

## 5. Strategic Plan Summary

Create a summary of your institution's strategic plan of no more than two pages and save it as a PDF. Reviewers will use your strategic plan summary to understand how your project activities will further your institutional goals and objectives. Please do not submit a copy of your institution's entire strategic plan. The summary should indicate when and by whom the plan was approved.

## 6. Narrative

Write a narrative that addresses the questions listed and save it as a PDF. Limit the narrative to ten numbered pages. We will remove any pages above the page limit, and we will not send them to reviewers as part of your application.

- Make sure your organization's name appears at the top of each page. Use at least 0.5-inch margins on all sides and a font size of at least twelve points.
- Use Supporting Documents to provide supplementary material.

Please be advised that reviewers may also choose to visit your organization's website, as listed on the SF-424S form provided with this application.

### 1. Statement of Need

- What do you propose to do?
- Explain how your project will address the challenge identified in this funding initiative (as described above in Section A.1)
- How does this project differ from, complement, or build upon previous work, demonstration projects, or research in this area?
- What is the community improvement opportunity you will be addressing and how was it identified? What is the evidence that the community improvement opportunity has already achieved broad interest and support (i.e., momentum)?
- How does it fit within your institution's strategic plan, priorities and opportunities?
- What key facts or key events are the basis or impetus for your project?
- Who are the non-traditional audiences you seek to involve?
- How will their voices be heard and how will you encourage new coalitions for change to form in support of the community opportunity and existing momentum?

Review Criteria:

- Is the project clearly explained?
- How well does the project address the stated goals (within Section A.1) of this special funding initiative?
- Is the project plan thoughtful, realistic, and does it address the identified community need?

- Is the project approach well-grounded in current literature and practice in the LAM field as well as relevant adjacent sectors (e.g., asset-based community development, collective impact)?
- Why is the proposal's approach significant and timely for the LAM field and for the applicant's community's stakeholders and networks?
- Does the applicant provide evidence of broad community engagement (i.e., momentum) in the specific community improvement project they seek to address?
  - Have the key groups, organizations, or institutions that are already championing and supporting change around this opportunity, if applicable, been described?
  - Have other groups or less organized entities that hold key assets that could be included into the community improvement efforts, with the applicant, been identified?
  - Has the applicant identified that there is existing momentum for local community development?
- How does the proposed project fit within the institution's priorities and opportunities as explained within the strategic plan?
- Do some of the participants in this project (both individuals and institutional) come from backgrounds different from those typically engaged by the applicant institution to generate a full understanding of the opportunity and need?
  - Will a broad range of community members be engaged in conversations about where they live; will individuals be encouraged and empowered to speak, leaders to listen, and coalitions to form?
- Has the basis for the project been explained well?
  - Have there been any conversations, open, and multi-voice discussions, and/or listening sessions with the community?
  - Are the proposed activities informed by analysis of publicly available data and relevant qualitative information?

## 2. Impact

- Considering Section A.4, describe how your project will have impact in your community to address the opportunities and needs you identified.
- How will the community be involved in defining the opportunities and associated needs to achieve community improvement and creating a collective vision for impact.
- Explain how your proposed project will involve the community in the development of the intervention.
- Explain how your proposed processes will have impact by leveraging your institution's ability to create or support community dialog and narratives?
- Describe your performance goals for the project that will ensure impact.
  - Elaborate upon how you will be monitoring, tracking, and assessing your progress and how this will be shared with the community.
  - What key metrics are important for your project?
  - What outcomes and outputs are most important to determine the overall impact of your project?
    - Note: Include in your plan time to engage with a third-party evaluator who will possibly (dependent on available IMLS funding and discretion) collectively evaluate the work of all projects funded through this special

opportunity. This evaluator would independently assess a range of activities throughout the active period of your grant period of performance, such as understanding your planning process and approach to monitoring your progress toward achieving the project's goal, understanding how you are utilizing frameworks and models, conducting capacity-building assessments, or evaluating prototypes of tools.

- Note: You must include \$6,000 in award funds for travel to attend IMLS-designated meetings. This should not be included in the cost share total.
- Describe your project's results
  - How may they be used, adapted, scaled, and/or replicated in other LAMs upon the conclusion of your project?
- Explain how your project will generate findings that serve as the basis for approaches, processes, tools, and resources that will support ongoing application across LAMs.

#### Review Criteria:

- Have the goals and indicators of success been clearly articulated with and by the community and stakeholders?
  - Do they lead back to the opportunity on which the project focuses?
  - Are the communities' voices heard in the definition of impact for the project?
- Are the members of the community directly impacted by the project included in project decision making or execution,
- Are the project's outcomes, performance goals, and intended results clearly articulated, appropriate, and realistic?
- Does the project demonstrate the potential for significant benefit to and applicability across the LAM fields?
- Is the project likely to make a significant, sustainable difference in the community, now or in the future?
- Will the proposed work inspire or inform others to participate in the applicant's community project?

### 3. Project Design

Provide a description of the proposed project's work plan. Include information such as the following:

- Articulate your specific project questions, conceptual design, and processes for your selected community opportunity framed within the context of Section A.1.
  - Describe your conceptual framework, what type of data you will gather to track progress and outcomes, and how it will be analyzed, interpreted, reported, and managed.
    - Note: You must fill out the Digital Product Form. Examples of digital products include any data visualizations that are informing the project work, online materials (such as webpages about the project to provide information to the community or agendas/notes from community sessions), digital content products, or images of community meetings.

- What are the goals, outcomes, and assumptions of your project, as framed within a social well-being framework?
- How do your institution's assets map back to the identified community opportunity?
- What will be the roles of community members and key stakeholders in implementation, and how will they have appropriate and ongoing involvement and ownership?
- When and in what sequence will your activities occur?
  - What are the key decision points? What are the risks?
  - Who will plan, implement, and manage your project?
- How will the proposal marshal the community's resources (e.g., financial, expertise, relationships) to build upon existing momentum and stakeholder networks in order to spark discourse and coalesce around a vision for change?
  - What financial, personnel, partnering, and other resources will you need to carry out the activities?
  - What is the role of partners and how were they identified as part of community asset mapping? How do they complement your institution's competencies? Does the proposal present documentation of substantial buy-in by the community members and key stakeholders to the proposed project plan and goals?
- In addition to making the results of your work available for public distribution, how and with whom will you share your project's work? How will you share results and discoveries as your project progresses with key stakeholders and the community?

Review Criteria:

- Are the proposed activities informed by relevant theory and practice in the areas of asset based community development and collective impact within the description and context of Section A.1?
- Does the definition of success address the opportunity and needs and will the evaluation activities indicate whether or not the project achieves success?
- Are the proposed evaluation activities and performance measurements relevant to the project's goals and desired impact? Will they result in findings that can inform future work? Do they vary appropriately based on the phase of the project?
- Is the schedule of work realistic and achievable? Will the project plan achieve the desired outcomes?
  - Is a clear methodology described for tracking the project's progress, making key decisions, getting stakeholder input, and adjusting course when necessary?
  - Are the risks clearly stated and are plans clear to mitigate the risks?
  - What is the role of partners, how were they identified based on community asset landscape, and are their roles clearly articulated and relevant to the project's goals and design?
- Are plans to involve and meet the needs of individuals and families from diverse geographic, cultural, socio-economic, or underserved communities clearly articulated and realistic?

- Note: Projects must demonstrate that engagement of citizens outside the current audiences of the LAM organization and/or deeper discourse with current audiences to reflect the community's composition and perspectives.
- Does the applicant have the capacity to execute the work effectively or have a plan to meet the needed capacity?
  - Are the time, personnel, and financial resources identified appropriate and realistic for the scope and scale of the project?
  - Do the identified staff, partners, consultants, and service providers possess the experience and skills necessary to complete the work successfully? Are their roles clearly defined?
- Is the plan for sustaining the project beyond the period of funding appropriate?

## **7. Schedule of Completion**

Create a schedule of completion and save it as a PDF. [Click here for instructions on creating a schedule of completion.](#)

## **8. IMLS Budget Form**

Download and complete the current [IMLS Budget Form](#) (PDF, 110 KB) [insert link]. [Click here for instructions on completing the budget form.](#) Java Script must be enabled in your web browser.

## **9. Budget Justification**

Write a budget justification and save it as a PDF. [Click here for instructions on creating the budget justification.](#)

## **10. List of Key Project Staff and Consultants**

Write a one-page list of only staff and consultants whose expertise is essential to the success of the project and save it as a PDF. Do not list the entire staff involved in the project. If you cannot identify key project staff by the application deadline, then list the position title instead. This list must include the Project Director listed in Item 7 of the SF-424S.

## **11. Resumes of Key Project Staff and Consultants that Appear on the List Above**

Provide resumes of no more than two pages each, as a PDF, for every key project staff member and key consultant identified on the List of Key Project Staff and Consultants described above. If you cannot identify key project staff by the application deadline, then submit position descriptions instead. A position description does not identify a specific individual; it identifies the qualities and range of experience and education necessary to successfully implement and complete project activities.

## 12. Digital Product Form

IMLS defines digital products very broadly, including but not limited to, digital content, resources, assets, websites, software, or datasets. You should review all of the questions in the Digital Product Form to determine if your proposal contains any digital products. If your application is not creating ANY digital products, please check the box indicating no products at the beginning of the form. If you are creating digital products, you must complete the Digital Product Form by providing for each section the corresponding information or marking “Not applicable for this project” in each respective section. In any event, your application will be considered incomplete if it does not include a completed Digital Product Form. [Click here for Guidance for Projects that Develop Digital Products.](#)

## 13. Letters of Support

Provide Letters of Support from the non-federal community members and key stakeholders that are relevant to your project’s plan and goals. The Letters of Support should demonstrate what roles and commitments these community members and stakeholders will provide to ensure your project’s success. The Letters of Support should also include evidence that community members or partnering community organizations will provide resources to offset hard project costs as part of, or in addition to, the applicant’s required 1:1 cost share. Examples of this include letters from local neighborhood watch organizations committing to pay for working lunches, local print shops or schools committing to pay costs for printing, or local community foundations committing to pay part of the salary for project director or for a percentage of the cost for facility rental.

## D2d. Conditionally Required Documents

Failure to provide a conditionally required document will result in your application being considered incomplete and rejected from further consideration.

### 1. Proof of Private, Nonprofit Status

If you are applying as a private, nonprofit organization, you must submit a copy of the letter from the Internal Revenue Service indicating your eligibility for nonprofit status under the applicable provision of the Internal Revenue Code of 1954, as amended. We will not accept a letter of state sales tax exemption as proof of nonprofit status.

*Note: You must submit this letter with each application whether or not you have submitted it with other applications in the current year or in previous years.*

### 2. Final Federally Negotiated Indirect Cost Rate

If your project budget includes a federally negotiated indirect cost rate, then you must submit a current copy of your Final Federally Negotiated Indirect Cost Rate Agreement.

*Note: If you are eligible for and are choosing the option of claiming an indirect cost rate of 10 percent of modified total direct costs (see 2 C.F.R. part 200, including 2 C.F.R. sections 200.68, 200.414(f), and*

200.510(b)(6)), you do not need to provide any documentation. [Click here for further information on indirect costs.](#)

## **D2e. Supporting Documents**

You may submit other attachments of your choosing as part of your application package, but these attachments should include only information that will supplement the application. They should help IMLS staff and reviewers envision your project, but they should not be used to answer narrative questions. You may wish to consider the following:

- Letters from any third party that supports the vision and purpose of the project
- Bibliography or references relevant to your proposed project design or evaluation strategy
- Position descriptions for project staff (if not included with resumes for key personnel) to be supported by grant funds
- Reports from planning activities
- Contractor quotes
- Products or evaluations from previously completed or ongoing projects of a similar nature
- Collections, technology, or other departmental plans for the institution as applicable to the proposed project
- Web links to relevant online materials
- Opportunity and needs assessments

## **D3. What are the registration requirements for submitting an application?**

Before submitting an application, your organization must have a current and active D-U-N-S® number (a unique entity identifier), System for Award Management (SAM.gov) registration, and Grants.gov registration. Check your materials and registrations well in advance of the application deadline to ensure that they are accurate, current, and active.

If your D-U-N-S® number and SAM.gov registration are not active and current at the time of submission, your application will be rejected; if they are not active and current at the time an award is made, we may determine that you are not qualified to receive an award and use that determination as a basis for making an award to another applicant.

### **D3a. What is a D-U-N-S® number and how do we get one?**

A D-U-N-S® number is a unique nine-digit number assigned to all types of business organizations, including nonprofits and government entities. [Click here to learn more about getting a D-U-N-S® number.](#)

### **D3b. What is the System for Award Management (SAM.gov) and how do we register?**

SAM.gov is the official U.S. Government system that consolidated the capabilities of previous registration systems such as CCR/FedReg, ORCA, and EPLS. There is no fee to register with SAM.gov. [Click here to learn more about SAM.gov registration.](#)

### **D3c. What is Grants.gov and how do we register?**

Grants.gov is the centralized location for grant seekers to find and apply for Federal funding opportunities.

#### **You must submit your application through Grants.gov.**

You must register with Grants.gov prior to submitting your application package. The multi-step registration process generally cannot be completed in a single day. If you are not already registered, you should allow at least two weeks to complete this one-time process. **Do not wait until the day of the application deadline to register.**

You do not need to complete the registration process to download the application package and begin to prepare your materials. However, you will need your Grants.gov user ID and password that you obtain during the registration process to submit your application when it is complete.

[Click here to learn more about Grants.gov registration and tips for using Grants.gov.](#)

### **D4. When and how must we submit our application?**

**You must submit your application through Grants.gov.** Do not submit through email to IMLS.

For the Community Catalyst initiative, Grants.gov will accept applications through 11:59 p.m. U.S. Eastern Time on May 14, 2018.

We strongly recommend that you obtain a D-U-N-S® number, register with SAM.gov and Grants.gov, and complete and submit the application early. We make grants only to eligible applicants that submit complete applications, including attachments, through Grants.gov, on or before the deadline, as indicated by the date stamp generated by Grants.gov.

[Contact Grants.gov](#) or call their help line at 1-800-518-4726 for assistance with hardware and software issues, registration issues, and technical problems. The help line is available 24 hours a day, seven days a week, except for federal holidays.

#### **What happens after we submit our application through Grants.gov?**

Within two business days of receiving your submission, Grants.gov will generate two emails regarding the progress of your application through the system. The first email will confirm receipt of your application by the Grants.gov system and the second will indicate that the application has either been successfully validated by the system prior to transmission to the grantor agency (IMLS) or has been rejected due to errors. After the official grant program deadline, you will receive a third email confirming that IMLS has retrieved your application. Until that point, you can check the status of your application(s) in Grants.gov by using the "Track My Application" feature.

### **D5. Is there an intergovernmental review?**

No. This funding opportunity is not subject to intergovernmental review per Exec. Order No. 12372.

## **D6. Are there funding restrictions?**

You may only use IMLS funds, and your cost sharing, for allowable costs as found in IMLS and OMB government-wide cost-principle rules. Please consult 2 C.F.R. pt. 200 and 2 C.F.R. pt. 3187 for additional guidance on allowable costs.

The following list includes some examples of generally allowable costs, both for IMLS funds and for cost share (if applicable), under this announcement:

- personnel salaries, wages, and fringe benefits
- travel expenses for key project staff and consultants
- community convening expenses
- public data analysis expenses
- materials, supplies, software, and equipment related directly to project activities
- equipment to improve collections storage and exhibit environments
- third-party costs (see below)
- publication design and printing
- training for staff and volunteers that impacts multiple institutions
- internships/fellowships
- indirect or overhead costs

You must explain all proposed expenses in your budget justification.

The following list includes some examples of unallowable costs, both for IMLS funds and for cost share (if applicable), under this announcement:

- general fundraising costs, such as development office staff or other staff time devoted to general fundraising
- contributions to endowments
- general operating support
- acquisition of collections (see 2 C.F.R. §3187.15(b))
- general advertising or public relations costs designed solely for promotional activities other than those related to the specific project
- construction or renovation of facilities (generally, any activity involving the construction trades is not an allowable cost)
- social activities, ceremonies, receptions, or entertainment
- pre-award costs

*Note: If you have questions about whether specific costs are allowable, call IMLS staff for guidance.*

### **D6a. How do we include costs for third parties?**

It is your responsibility to determine whether each agreement you make for the disbursement of federal program funds to third parties casts the party receiving the funds in the role of a subrecipient or a contractor. Familiar terms for third parties can include partners, consultants, subgrantees,

collaborators, vendors, or service providers. (See 2 C.F.R. § 200.330 (Subrecipient and contractor determinations).) IMLS grant funds may not be provided to any federal agency serving as a third party.

## **D6b. What are our options for including indirect costs in our budget?**

You can choose to:

- use a rate not to exceed your current indirect cost rate already negotiated with a federal agency;
- use an indirect cost rate proposed to a federal agency for negotiation, but not yet finalized, as long as it is finalized by the time of the award;
- use a rate not to exceed 10% of the total modified direct costs if you have never had a federally negotiated indirect cost rate and you are otherwise eligible; or
- not include any indirect costs.

[Click here for further information on indirect costs.](#)

## **E. Application Review Information**

### **E1. What are the review criteria?**

Reviewers are instructed to evaluate applications according to the review criteria included within the narrative instructions in Section D2 of this document. Reviewers consider all required and conditionally required documents, and supporting documentation, as listed in Section D2.

#### **Is cost sharing considered in the review process?**

Cost sharing is an eligibility criterion and is not considered in the review of applications. Cost sharing requirements for this grant program are addressed in Section C2.

### **E2. What is the review and selection process?**

We use a peer review process to evaluate all eligible and complete applications. Reviewers are professionals in the field with relevant knowledge and expertise in the types of project activities identified in the applications. We instruct reviewers to evaluate applications according to the review criteria. Reviewer conflicts of interest are identified prior to review, and reviewers who may have conflicts with particular applications are reassigned to review other applications.

The Director takes into account the input provided by the review process and makes final funding decisions consistent with the purposes of the agency's mission and programs.

### **E3. What is the designated integrity and performance system and how does IMLS comply with its requirements?**

IMLS, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold (currently \$150,000 but periodically adjusted), is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. § 2313).

An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

IMLS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.205 (Federal awarding agency review of risk posed by applicants).

## **E4. When will we be notified of funding decisions?**

We will not release information about the status of an application until the applications have been reviewed and all deliberations are concluded. We expect to notify both successful and unsuccessful applicants of the final decisions by August 2018.

## **F. Award Administration Information**

### **F1. How will we be notified of funding decisions?**

We will notify both successful and unsuccessful applicants of funding decisions by email.

For applicants who receive awards, the award packet will be sent to the Project Director, Primary Contact/Grants Administrator, and Authorized Representative/Authorizing Official (as identified on the SF-424S). The award packet will contain the following:

- Cover letter;
- Official Award Notification for Grants and Cooperative Agreements (the authorizing document for the award);
- links to the General Terms and Conditions for IMLS Discretionary Grant and Cooperative Agreement Awards, reporting forms, and the Grantee Communications Kit; and
- Reviewer comments.

Your period of performance will be included on your Official Award Notification for Grants and Cooperative Agreements. The award period of performance begins on the first day of the month in which project activities start and ends on the last day of the month in which these activities are completed. Funded projects may not begin earlier than October 1, 2018, and not later than December 1, 2018.

For applicants who do not receive awards, the Project Director, Primary Contact/Grants Administrator, and Authorized Representative/Authorizing Official (as identified on the SF-424S) will receive the following:

- cover letter; and
- Reviewer comments.

## **F2. What are the administrative and national policy requirements?**

Organizations that receive IMLS grants or cooperative agreements are subject to the [IMLS General Terms and Conditions for IMLS Discretionary Grant and Cooperative Agreement Awards](#) and the [IMLS Assurances and Certifications](#). Organizations that receive IMLS funding must be familiar with these requirements and comply with applicable law.

As an applicant for Federal funds, you must certify that you are responsible for complying with certain nondiscrimination, debarment and suspension, drug-free workplace, and lobbying laws. These are set out in more detail, along with other requirements, in the [IMLS Assurances and Certifications](#). By signing the application form, which includes the Assurances and Certifications, you certify that you are in compliance with these requirements and that you will maintain records and submit any reports that are necessary to ensure compliance. Your failure to comply with these statutory and regulatory requirements may result in the suspension or termination of your award and require you to return funds to the government.

## **F3. What are the reporting requirements?**

At a minimum, you will be required to submit a performance report and financial report annually. Reports are due according to the reporting schedule that is part of your Official Award Notification for Grants and Cooperative Agreements. Grantees must submit reports electronically using the IMLS performance and financial report forms. In support of the agency's commitment to open government, interim and final performance reports may be made accessible on the IMLS website to engage the public in communities of practice and to inform application development and grant making strategies.

For details and forms, please see the [Manage Your Award: Grant Administration page](#) on the IMLS website.

You must also comply with 2 C.F.R. §§ 180.335 and 180.350 and 2 C.F.R. pt. 3185 with respect to providing information regarding all debarment, suspension, and related offenses information, as applicable.

### **What do we need to know if the Federal share of our award is more than \$500,000 over the period of performance?**

If the Federal share of your award is more than \$500,000 over the period of performance, you should refer to the post-award reporting requirements reflected in 2 C.F.R. pt. 200, Appendix XII – Award Term and Condition for Recipient Integrity and Performance Matters.

## **G. Contacts**

### **G1. Who should we contact if we have questions?**

You may contact Dr. Marvin D. Carr at [mcarr@imls.gov](mailto:mcarr@imls.gov) for more information for this program. IMLS staff are available by phone and email to answer programmatic and administrative questions relating to this grant program.

[Contact Grants.gov](#) or call their help line at 1-800-518-4726 for assistance with hardware and software issues, registration issues, and technical problems.

### **G2. How can we participate in a webinar for this IMLS funding opportunity?**

Program staff host webinars to introduce potential applicants to funding opportunities. [Click here for a schedule of webinars](#) and instructions for accessing them from your computer.

## **H. Other Information**

### **H1. What do we need to know about acknowledging IMLS support?**

Grantees must include an acknowledgement of IMLS support in all grant products, publications, websites, and presentations developed with IMLS funding. All work products should reference IMLS and include the associated grant award numbers. [Click here for the Grantee Communications Kit](#), which provides guidance for fulfilling these requirements.

### **H2. What should we do if we are including confidential or proprietary information in our application?**

IMLS may share grant applications, work products, and reports with grantees, potential grantees, and the general public to further the mission of the agency and the development of museum, library, and information services. These materials may be disseminated broadly and made available in a variety of ways and formats.

For the above reasons, you should not include in your application any information that you consider to be confidential or proprietary. However, if you do decide to provide information that you consider confidential or proprietary, you must clearly identify it as such. IMLS will handle confidential and proprietary information in accordance with applicable law (e.g., Freedom of Information Act [FOIA] and Privacy Act).

### **H3. What do we need to know about sharing and copyright of IMLS-supported work products and managing digital products?**

Read more about [sharing and copyright of IMLS-supported work products](#) and [management of digital products](#) (including research data and other digital content) produced with IMLS support.

### **H4. What conflict of interest requirements must we follow?**

As a non-federal entity, you must follow IMLS conflict of interest policies for federal awards. [Click here for more information about IMLS conflict of interest requirements.](#)

### **H5. Where else can we find additional information about IMLS?**

You can check the [IMLS website](#) for information on IMLS and IMLS activities.

### **H6. Is IMLS obligated to make an award as a result of this announcement?**

IMLS is not obligated to make any Federal award or commitment as a result of this announcement.

### **H7. How can I become a peer reviewer?**

If you are interested in serving as a peer reviewer, you may enter your contact information, identify your experience and expertise, and upload your resume through our online reviewer application at [www.imls.gov/grants/become-reviewer](http://www.imls.gov/grants/become-reviewer). If you are identified as a potential reviewer, we will notify you by email prior to the next review period to confirm your availability.

### **H8. How long should it take us to complete an application?**

Complete applications include the elements listed in the Table of Application Components in Section D. We estimate the average amount of time needed for one applicant to complete the Narrative portion of this application to be 40 hours. This includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and writing and reviewing the answers.

We estimate that it will take you an average of 15 minutes per response for the IMLS Program Information Sheet and three hours per response for the IMLS Budget Form. We estimate that it will take you an average of 60 minutes per response for the Digital Product Form.

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 955

L'Enfant Plaza North, SW, Suite 4000, Washington, DC, 20024-2135, and to the Office of Management and Budget, Paperwork Reduction Project (3137-0091), Washington, DC, 20503.

## **H9. IMLS Clearance Number:**

IMLS-CLR-D-0035 Expiration date: 1/31/2020

## **H10. PRA Clearance Number:**

OMB Control #: 3137-0105, Expiration date: 1/31/2020

# **Appendix One - IMLS Assurances and Certifications**

As a Federal agency, IMLS is required to obtain from all applicants certifications, including those regarding Nondiscrimination, Debarment and Suspension, Federal Debt Status, and 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 SF-424S.

## **Assurances Statement**

By signing the application form, the authorized representative, on behalf of the applicant, assures and certifies that, should a Federal award be made, the applicant will comply with the statutes outlined below and all related IMLS regulations (for example, see 2 C.F.R. ch. XXXI and 45 C.F.R. ch. XI). These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States Government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized representative 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 non-federal share of project costs) to ensure proper planning, management, reporting, recordkeeping, 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 applicable law.

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

### **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 (note: as clarified by Exec. Order No. 13,166, the applicant must take reasonable steps to ensure that limited English proficient (LEP) persons have meaningful access to the applicant's programs (see IMLS guidance at 68 Federal Register 17679, April 10, 2003));
2. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq., including § 794), which prohibits discrimination on the basis of disability (note: IMLS applies the regulations in 45 C.F.R. pt. 1170 in determining compliance with section 504 as it applies to recipients of federal assistance);
3. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, §§ 1685–1686), which prohibits discrimination on the basis of sex in education programs;
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; and
5. The requirements of any other nondiscrimination statute(s) which may apply to the application.

### **Debarment and Suspension**

The applicant shall comply with 2 C.F.R. pt. 3185 and 2 C.F.R. pt. 180, as applicable. 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. pt. 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. pt. 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.

As noted in the preceding paragraph, applicants who plan to use IMLS awards to fund contracts should be aware that they must comply with the communication and verification requirements set forth in the above Debarment and Suspension provisions.

### **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.

### **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. pt. 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. pt. 3186, which adopts the Government-wide implementation (2 C.F.R. pt. 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.

### **Trafficking in Persons**

The authorized representative, on behalf of the applicant, certifies, as a condition of the award, that the applicant will comply with the trafficking in persons requirements that are set out in the General Terms and Conditions for IMLS Discretionary Awards (2 C.F.R. 175.15 Award Term.).

### **Certification Regarding Lobbying Activities**

(Applies to Applicants Requesting Funds in Excess of \$100,000) (31 U.S.C. § 1352)

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 an 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 any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

(b) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant, as provided in 31 U.S.C. § 1352) 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 complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(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 and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is placed when the transaction is made or entered into. Submission of this certification is a prerequisite for making or entering into the transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **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.

## **Certifications Required for Certain Projects**

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.

### **Subawards**

Under IMLS regulations at 2 C.F.R. § 3187.14, a recipient may not make a subaward unless expressly authorized by IMLS. A recipient may contract for supplies, equipment, and services, subject to applicable law, including but not limited to applicable Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards set forth in 2 C.F.R. pt. 200.

### **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, see 54 U.S.C. § 306108), Exec. Order No. 11,593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq., see 54 U.S.C. § 501502 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 Exec. Order No. 11,514;
- b. notification of violating facilities pursuant to Exec. Order No. 11,738;
- c. protection of wetlands pursuant to Exec. Order No. 11,990, as amended by Exec. Order No. 12,608;
- d. evaluation of flood hazards in floodplains in accordance with Exec. Order No. 11,988, 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 purchase 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, or as otherwise designated.

### **Research on Human Subjects**

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

### **Research on Animal Subjects**

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

For further information on these certifications, contact IMLS, 955 L'Enfant Plaza North, SW, Suite 4000, Washington, DC, 20024-2135. Or call 202/653-IMLS (4657).

## Appendix Two – Required Federal Systems

### Getting a D-U-N-S® Number

All non-federal entities are required to have a Dun and Bradstreet Data Universal Numbering System (D-U-N-S®) number (a unique entity identifier) in order to apply for, receive, and report on federal awards.

You should verify that your organization has a D-U-N-S® number. You can get one within two business days at no cost by calling the dedicated toll-free D-U-N-S® number request line at 1-866-705-5711 or by visiting <https://www.dandb.com/free-duns-number>.

### Registering for SAM.gov

The System for Award Management (SAM) is a federal repository that centralizes information about grant applicants and recipients. You must be registered with SAM.gov before you register with Grants.gov. [Click here to find information about registering with SAM.gov.](#)

We recommend that you allow at least two weeks to complete your SAM.gov registration. You must renew your registration in SAM.gov at least every 12 months—and sooner, if your information changes. An expired registration will prevent you from submitting applications via Grants.gov and receiving awards or payments. Grant payments will be made to the bank account that is associated with your SAM.gov registration.

### Registering for Grants.gov

You must register with Grants.gov before submitting your application to IMLS. [Click here to learn more about the multistep registration process.](#) Make sure your D-U-N-S® number and SAM.gov registration are accurate, current, and active. We recommend that you allow at least two weeks to complete your Grants.gov registration.

### Working with Grants.gov

[Click here to learn more about Grants.gov resources](#), which include checklists, FAQs, and online tutorials to assist you in preparing your organization to submit applications.

Designate more than one Authorized Organization Representative (AOR) when you register in Grants.gov. This will help avoid last-minute crises in the event that your one AOR is unavailable when you are ready to submit your application.

Update the contact information and password in Grants.gov when the AOR at your organization changes.

Grants.gov offers online support regarding [Adobe® software](#) and [browser](#) compatibility. Contact the [Grants.gov help line](#) (1-800-518-4726) for assistance with hardware and software issues, registration issues, and technical problems. The help line is available 24 hours a day, seven days a week, except for federal holidays.

## Appendix Three - Performance Measure Statements and Information to be Collected and Reported for Learning and Community Projects

On the IMLS Program Information Sheet, you selected an [IMLS agency-level goal](#) (PDF, 740KB) of Learning or Community or Content and Collections with which your project best aligns. You also selected at least one performance goal that reflects a measurable change or outcome that you intend for your project to achieve. Below is a list of pre-determined performance measure statements that will help IMLS document the collective achievements of the Learning and Community projects we fund.

**IMPORTANT:** You will be required to provide specific information directly relating to these performance measure statement(s) in your Final Performance Report. You may design and administer a more elaborate survey than what will be required to gather this specific information. These information-gathering activities must be incorporated into your application narrative, your work plan, your schedule of completion, and your budget, as necessary.

### IMLS Agency-Level Goal 1: Learning

Performance Goal	Performance Measure Statement	Information You Will Be Expected to Report
	<i>Survey Respondent: Program/Project Participants</i>	<i>Data to be Collected</i>
Train and develop museum and library professionals.	My understanding has increased as a result of this program/training: <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>
	My interest in this subject has	<ul style="list-style-type: none"> <li>• Number of participants</li> </ul>

	<p>increased as a result of this program/training:</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>
	<p>I am confident I can apply what I learned in this program/ training:</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>
Support communities of practice	<p>My understanding has increased as a result of this program/training:</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>
	<p>My interest in this subject has increased as a result of this program/training:</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>
	<p>I am confident I can apply what I learned in this program/training:</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>
Develop and provide inclusive and accessible learning opportunities	<p>My understanding has increased as a result of this program/training:</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses</li> </ul>

	<ul style="list-style-type: none"> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• per answer option</li> <li>• Number of non-responses</li> </ul>
	<p>My interest in this subject has increased as a result of this program/training:</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>

**IMLS Agency-Level Goal 2: Community**

<b>Performance Goal</b>	<b>Performance Measure Statement Outcome Based</b>	<b>Information to be Collected and Reported</b>
	<i>Survey Respondent: Grantee</i>	<i>Data to be Collected</i>
Strengthen museums and libraries as essential partners in addressing the needs of their communities.	<p>My organization is better prepared to provide a program or service that addresses community needs.</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>
	<p>My organization is better able to engage my community.</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>
	<p>My organization is better prepared to develop and maintain on-going relationships with community partners.</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>

	<p>My organization is better prepared to share knowledge and other resources as an active contributor to problem solving in the community.</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>
	<i>Survey Respondent: Community Partner(s)</i>	<i>Data to be Collected</i>
	<p>The museum or library offers programs, services, or resources that address community needs.</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>
	<p>The museum or library is an active contributor to problem solving in the community.</p> <ul style="list-style-type: none"> <li>• Strongly Agree</li> <li>• Agree</li> <li>• Neither Agree, nor Disagree</li> <li>• Disagree</li> <li>• Strongly Disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Number of participants</li> <li>• Number of total responses</li> <li>• Number of responses per answer option</li> <li>• Number of non-responses</li> </ul>

## Appendix Four – Explanation of Forms for Reference

### Grants.gov SF-424S

The SF-424S is the “Application for Federal Domestic Assistance/Short Organizational Form,” which is part of the application package that you downloaded from Grants.gov.

#### Items 1 through 4

These items are automatically filled in by Grants.gov.

#### Item 5. Applicant Information

**a. Legal Name:** Enter your organization’s legal name as it appears in your SAM.gov registration. This is the organization with the authority to apply directly for funding in this program. If you have an organizational unit that will be carrying out the project, be sure that it is specified as the organizational unit on the IMLS Program Information Sheet.

**b. Address:** Enter your legal applicant’s address as it appears in your SAM.gov registration.

**c. Web Address:** Enter your web address.

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

**e. Employer/Taxpayer Identification Number (EIN/TIN):** Enter the EIN or TIN assigned to your organization by the Internal Revenue Service.

**f. Organizational DUNS:** Enter your organization’s D-U-N-S® number received from Dun and Bradstreet.

**g. Congressional District:** Enter your organization’s congressional district. Use the following format: two-letter state abbreviation, followed by a hyphen, followed by a zero, followed by the two-digit district number. For example, if the organization is located in the 5th Congressional District of California, enter “CA-005.” For the 12th Congressional 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 your 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 your organization’s district, [visit the House of Representatives website by clicking here](#) and using the “Find Your Representative” tool.

## Item 6. Project Information

**a. Project Title:** Enter a brief descriptive title for your project. IMLS may use this title for public information purposes.

**b. Project Description:** Enter a brief description (about 120 words) of your project. Tell us what your project will do, for whom or what, and why. Use clear language that can be understood by readers who might not be familiar with the discipline or subject area.

**c. Proposed Project Start Date/End Date:** Enter the start date and end date of the proposed period of performance in the format mm/dd/yyyy. The project period begins on the first day of the month in which project activities start and ends on the last day of the month in which these activities are completed. Refer to Section B of this Notice of Funding Opportunity to determine when your project can begin.

## Item 7. Project Director

The Project Director is the person who will have primary responsibility for carrying out your project’s activities. Enter the requested information for this individual here.

*IMLS requires that the Project Director be a different person than the Authorized Representative.*

### **Item 8. Primary Contact/Grants Administrator**

The Primary Contact/Grants Administrator is the person who has primary responsibility for administering the award. Enter the requested information for this individual here. If the Primary Contact/Grants Administrator is the same as the Authorized Representative, please still complete both Items 8 and 9.

In some organizations this individual may be the same as the Project Director. If this is the case, check the box and skip to Item 9.

### **Item 9. Authorized Representative**

The Authorized Representative is the person who has the authority to legally bind your organization. Enter the requested information for this individual here. The Authorized Representative cannot 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 the [IMLS Assurances and Certifications](#) and any other relevant federal requirements.

The "Signature of Authorized Representative" and "Date Signed" boxes will be automatically populated by Grants.gov upon submission of the application. This will be the person whose name was listed as your organization's authorized representative when you registered with Grants.gov. Please note that this name might not be the same as the name and other information you entered in Item 9 above; however, the person whose name appears in the "Signature of Authorized Representative" box must have authorization from your organization to submit this application on behalf of your organization.

Submission of the electronic application acknowledges that your organization certifies compliance with relevant federal requirements, including but not limited to the [IMLS Assurances and Certifications](#), to the same extent as the signature does on a paper application.

## **IMLS Program Information Sheet**

### **1. Applicant Information:**

- a. Legal Name: From 5a on the SF-424S.
- b. Organizational D-U-N-S® Number: From 5f on the SF-424S.
- c. Expiration date of your SAM.gov registration: Enter the expiration date of your SAM.gov registration in the fill-in field. Please note that before submitting an application, your organization must have a current SAM.gov registration.
- d. Organizational Unit Name: If you cannot apply for grants on your own behalf, then enter your organizational unit's name and address in these spaces. For example, if your museum or library is part of a parent organization, such as a university, then enter the name of the university under Legal Name, and the museum or library as the Organizational Unit.
- e. Organizational Unit Address: Be sure to include the four-digit extension on the ZIP code.
- f. Organizational Unit Type: Select the one that most accurately describes your organization.

**2. Organizational Financial Information:** a-d. All applicants must provide the information requested.

**3. Grant Program:** Select b. National Leadership Grants for Libraries

- 1) Select Project Grant.
- 2) Select Community Anchors.

**4. Performance Goals:** Select performance goal b. **Note:** If you select a performance goal(s) under agency-level goals (a) Learning or (b) Community, click on the link below to review the specific performance measure statement choices and the information you will be required to collect and report on throughout the award period of performance. [Performance Measure Statements and Information to be Collected and Reported for Learning and Community Projects](#).

**5. Funding Request Information:**

- a. IMLS Funds Requested: Enter the amount in dollars sought from IMLS.
- b. Cost Share Amount: Enter the amount of non-federal funding you are providing, which must be at least one-half of the total project cost. [Click here for further information on cost sharing](#).

**6. Population Served:** Check the boxes that reflect the population(s) to be served by your project.

**7. Museum Profile:** Museum applicants must answer all questions (a-l) in this section. If you named an organizational unit under Question 1d, this information must pertain to that unit.

**8. Project Elements:** Refer to the project category you selected in Question 3 above and select the primary element that is core to your project. For Collections Stewardship projects, check additional boxes corresponding to the material type(s) that will be primarily affected by your project.

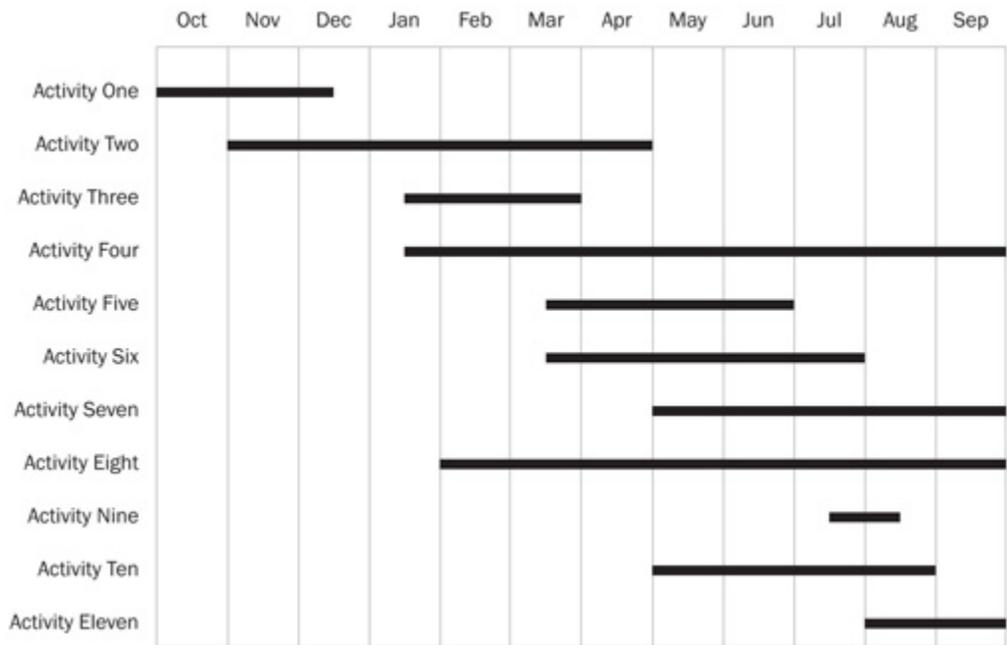
## Organizational Profile

An organizational profile must be no more than one page and include the following information:

- Your organization's mission or statement of purpose, noting the source, approving body, and date of the official document in which it appears.
- Your service area (communities and/or audiences served, including size, demographic characteristics, and geographic area).
- A brief history of your organization, focusing on the unit that will be directly involved in carrying out the work.

## Schedule of Completion

The schedule of completion should reflect each major activity identified in your application narrative and the project dates identified on the SF-424S and IMLS Budget Form. It should show when each major project activity will start and end. The schedule should be no longer than one page per project year. See the sample schedule of completion below.



## IMLS Budget Form

Download the [IMLS Budget Form](#) (PDF, 110 KB).

The IMLS Budget Form accommodates up to three years of project activities and expenses. Project timelines, allowable costs, and other budget details vary by program. Be sure to review the Notice of Funding Opportunity for the grant program/category to which you are applying and the cost principles in 2 C.F.R. pt. 200 and 2 C.F.R. pt. 3187.

The Year 1 columns should include costs for activities that begin on the project start date (as listed on 6c of the SF-424S) and end 12 months later. If the project timeline exceeds one year, list the costs for the next 12 months in the Year 2 columns. If the project extends beyond two years, list the costs for the next 12 months in the Year 3 columns. If the program/category to which you are applying permits a fourth year as part of the budget, enter Year 4 budget details on a second copy of the IMLS 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. In-kind contributions to cost sharing may include the value of services (e.g., donated volunteer or consultant time) or equipment donated to the project between the authorized start and end dates of your project. All the items listed, whether supported by grant funds or cost share, must be necessary to accomplish project objectives, allowable according to the applicable federal cost principles, auditable, and incurred during the award period of performance. 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 your organization. You must report all revenues generated with project funds during the award period of performance as program income.

If you need more lines for a specific section, summarize the information in the IMLS Budget Form and explain it further in the budget justification.

**1. Salaries and Wages:** Include both temporary and permanent staff as well as volunteers engaged in project activities. Document the method of cost computation (e.g., as percentage of a person's time devoted to the project, number of days, number of hours) in your budget justification.

**2. Fringe Benefits:** Limit direct cost fringe benefits to those not included in your indirect cost pool. Fringe benefits may be claimed only on the portion of salaries and wages identified for this project.

**3. Travel:** Explain the method of cost computation for each travel cost, including subsistence, lodging, and transportation, in your budget justification.

You must use the lowest available commercial fares for coach or equivalent accommodations, and you must use U.S. flagged air carriers for foreign travel when such services are available, in accordance with applicable U.S. legal requirements.

Please refer to the narrative section of this Notice of Funding Opportunity for information about special travel requirements, if any.

**4. Supplies, Materials, and Equipment:** List the costs of supplies, materials, and equipment purchased specifically for the proposed project. For definitions and other information, please see 2 C.F.R. pt. 200. Use the budget justification to explain or describe these items in further detail.

**5. Contracts and Subawards:** List each third party that will undertake project activities and their associated costs as an individual line item on your budget form. Designate each third party as either a contract or subaward using the drop-down menu on each line.

To explain or describe these items in further detail, you may either

- itemize these third-party costs in your budget justification or
- include a separate IMLS Budget Form as a supporting document and refer to it in the budget justification, for more complex projects.

**6. Student Support:** If your project includes student support costs, enter them in this section. [Please click here for a definition and examples of student support.](#)

**7. Other Costs:** Use this section for costs that cannot be assigned to other categories. Do not use this section to list items that do not fit in the lines allotted for another section.

**8. Total Direct Costs:** These amounts will total automatically.

**9. Indirect Costs:** Indirect costs are expenses that are incurred for common or joint objectives that cannot be easily identified with a particular project. [Click here for more information about indirect costs.](#)

**10. Total Project Costs:** These amounts will total automatically.

## Cost Share

Cost share is that portion of the project costs that is not paid by IMLS funds. Common examples of cost share include cash outlays; contribution of property and services; and in-kind contributions, such as staff or volunteer time that support project activities.

All expenses, including cost sharing, must be incurred during the award period of performance unless otherwise specified and allowed by law. Federal funds from other federal awards may not be used for cost sharing. All federal, IMLS, and program requirements regarding the use of funds apply to both requested IMLS funds and to cost sharing. See 2 C.F.R. §§ 200.29 and 200.306 for more information on cost share.

## **Budget Justification**

Write a budget justification and save it as a PDF. Your budget justification should address both grant funds and cost share and align with your IMLS Budget Form. It should identify the purpose for each expense and show the method of cost computation used to determine each dollar amount, including any that you may have consolidated and summarized on the IMLS Budget Form. Follow the format of the IMLS Budget Form's section headings.

### **1. Salaries and Wages**

Identify each person whose salary or wages will be paid with IMLS funds or by cost share, provide their names, describe their role in the project, the percent of time to be devoted to the project, and their rate of pay. If cost share is being provided by unpaid volunteers, explain how you arrived at the dollar amount used to represent the value of their services.

If you are requesting IMLS funding for salaries of permanent staff, explain the reason for the request and how the regular duties of these individuals will be performed during the award period of performance.

### **2. Fringe Benefits**

Identify your institution's fringe benefit rate and explain the base for the calculation for each person. If you have consolidated several persons' fringe benefits into a single line on the IMLS Budget Form, break out the detail here.

### **3. Travel**

For each trip, explain the purpose of the trip and specify the points of origin and destination, the name of the traveler, and break out the costs of transportation, lodging, per diem, and any other expenses associated with the travel. Explain how you arrived at the dollar amount.

### **4. Supplies, Materials, and Equipment**

List each type of supply, material, and equipment you propose to purchase or provide as cost share for the project. Detail the number and unit cost for each item, and explain how you arrived at the dollar amounts. Provide vendor quotes or price lists as supporting documents with your application.

### **5. Contracts and Subawards**

List the costs of project activities to be undertaken by third parties for the project. (Familiar terms for third parties can include partners, consultants, subgrantees, collaborators, vendors, or service providers.) Identify each third party by name, describe their role in the project, the activities they will carry out, and the cost. For each entry, designate the third party as either a subrecipient or a

contractor. Explain costs for third parties and provide relevant supporting documents with your application. IMLS grant funds may generally not be provided to other U.S. government agencies.

You are responsible for making a case-by-case determination as to whether the agreement you make with a third party should be a contract or a subaward. That determination will depend upon the nature of your relationship with the third party with respect to the activities to be carried out. (See 2 C.F.R. § 200.330 (Subrecipient and contractor determinations).)

## **6. Student Support**

Explain your method for calculating the costs listed in this section. [Please click here for a definition and examples of student support.](#)

## **7. Other Costs**

Use this section for costs that cannot be assigned to other categories.

## **8. Total Direct Costs**

Indicate the total direct costs, and specify how much you are asking from IMLS and how much you intend to provide as cost share.

## **9. Indirect Costs**

If you include indirect costs in your project budget, identify the rate(s) and explain the base(s) on which you are calculating the costs. [Click here for more information about indirect costs.](#)

## **10. Total Project Costs**

Indicate the total project costs here, and specify how much you are asking from IMLS and how much you intend to provide as cost share.

# **Indirect Costs**

## **What are indirect costs?**

Indirect costs are expenses that are incurred for common or joint objectives that cannot be easily identified with a particular project. Some examples include utilities, general insurance, use of office space and equipment that you own, local telephone service, and the salaries of the management and administrative personnel of the organization. See 2 C.F.R. pt. 200 for additional guidance.

## **What are our options for calculating and including indirect costs in our project budget?**

You can choose to:

- Use a rate not to exceed your current indirect cost rate already negotiated with a federal agency;
- Use an indirect cost rate proposed to a federal agency but not yet finalized (if the rate is not finalized by the time of award, it will not be allowed);

- Use a rate not to exceed 10% of modified total direct costs if you have never had a federally negotiated indirect cost rate and you are not subject to other requirements (e.g., for States and local governments and Indian tribes); or
- Not include any indirect costs.

### **What is a federally negotiated indirect cost rate, and how do we use one?**

Federally negotiated indirect cost rates are negotiated agreements between federal agencies and non-federal entities. If your organization already has an existing negotiated indirect cost rate in effect with another federal agency, you may use this rate to calculate total project costs, as long as you apply the rate in accordance with the terms of the negotiated agreement and include a copy of the current negotiated agreement with your grant application. You may also choose to use a rate lower than your current federally negotiated indirect cost rate. We will only accept federally negotiated indirect cost rates that are current by the award date.

### **What if we use an indirect cost rate that we proposed to a federal agency but is not yet finalized?**

If your organization is in the process of negotiating an indirect cost rate with a federal agency, you may use the indirect cost rate that was proposed to the federal agency to estimate total project costs. In such situations, if we award a grant, we will accept the rate only if the negotiations are final by the award date and a copy of the final agreement is submitted to us. IMLS staff will work with you to adjust your budget prior to awarding the grant.

### **How do we use the 10% indirect cost rate?**

Except for those non-federal entities described in Appendix VII to 2 C.F.R. pt. 200, you may choose to charge a rate not to exceed 10% of modified total direct costs (MTDC), as long you have never had a federally negotiated indirect cost rate and you meet the applicable requirements. See 2 C.F.R. § 200.414 for additional guidance.

Modified total direct costs are direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward. MTDC excludes several cost categories, including equipment, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of \$25,000. See 2 C.F.R. § 200.68 for additional information.

If you are using the 10% indirect cost rate, check the box indicated on the IMLS Budget Form. No additional documentation is required.

### **Can we apply our indirect cost rate to the cost share portion on our IMLS Budget Form?**

Yes. You may apply your indirect cost rate to the cost share portion of your total direct costs, but you must count it as cost share (in the Cost Share column). IMLS funds can be used for indirect costs, but only for the portion of the total direct costs for which you are requesting IMLS funds (the Grant Funds column).

### **Are there any other project costs that cannot be included in our indirect cost calculations?**

If you have a federally negotiated indirect cost rate agreement, you must follow its conditions and requirements.

If you are eligible for and using a rate not to exceed 10%, you may include up to 10% of the modified total direct costs (MTDC) in your indirect cost calculations. (Please see above section on this 10% rate as well as 2 C.F.R. § 200.414(f) and § 200.68.)

## Student Support Costs

Students are understood to be:

- Students enrolled in a community college, undergraduate, or graduate program of study.
- Individuals participating in post-master's or post-doctoral programs which are focused on supporting their career or professional development.
- Library, archive, and museum staff participating in education and training activities focused on their career or professional development.

Examples of student support include:

- Tuition support for students participating in the project.
- Salaries or stipends for graduate assistant work, so long as their work is focused on research and teaching activities (therefore contributing to their education).
- Pay and benefits for a resident or fellow to work in a position that is intended to support their learning outcomes or professional development.
- Costs for travel and conference registration provided to support a student or participant's learning outcomes or professional development.
- Costs of supplies and equipment provided to students to support a student's learning outcomes or professional development.

Activities not considered student support include:

- Students employed in roles that are primarily administrative or clerical, doing work that is not primarily focused on their career or professional development. These costs should be listed in the salaries and wages section of the budget, and tuition paid on behalf of these students would not be considered student support.

## Proof of Private, Nonprofit Status

If your organization is applying as a private, nonprofit institution, you must submit a copy of the letter from the Internal Revenue Service indicating your eligibility for nonprofit status under the applicable provision of the Internal Revenue Code of 1954, as amended. We will not accept a letter of state sales tax exemption as proof of nonprofit status. (See 2 C.F.R. §3187.7(b))

# Appendix Five – IMLS Products Guidance

## Guidance for Projects that Develop Digital Products

### **What are digital products?**

IMLS broadly defines digital products, including but not limited to, as any digital content, websites, resources, assets, software, or datasets that you may create, collect, or develop during the course of your project.

### **What are the IMLS requirements for projects that create, collect, or develop digital products?**

IMLS is committed to expanding public access to federally funded research, data, and other digital products. The assets you create with IMLS funding require careful stewardship to protect and enhance their value, and they should be freely and readily available for use and re-use by libraries, archives, museums, and the public. However, applying these principles to the development and management of digital products is not always straightforward. We ask that you answer questions that address specific aspects of creating and managing digital products in the Digital Product Form. [Download the Digital Product Form](#) (PDF 45KB).

Additionally, IMLS participates in the Federal Agencies Digitization Guidelines Initiative (FADGI), a collaborative effort by federal agencies to define common standards, guidelines, methods, and best practices for creating digital collections. The FADGI website includes a growing list of links to relevant standards, recommendations, and other resources. While this list is not exhaustive—nor do we endorse any specific resource—applicants considering digital projects may find the information useful. [Click here to access the FADGI website](#).

## **Access to Work Products and Documents from IMLS-Supported Projects**

### **How should we share our work products from IMLS-supported projects?**

All work products resulting from IMLS funding should be distributed for free or at cost unless we have given you written approval for another arrangement. We encourage IMLS grant recipients to share their work products (including publications, datasets, educational resources, software, and digital content) whenever possible through free and open-access journals and repositories. We expect you to ensure that final peer-reviewed manuscripts resulting from research conducted under an award are made available in a manner that permits the public to access, read, download, and analyze the work without charge. Wide dissemination of the results of IMLS-funded projects advances the body of knowledge and professional practice in museum, library, and information services.

### **What project documents might IMLS make openly accessible?**

We may share grant applications, work products, and reports with grantees, potential grantees, and the general public to further the mission of the agency and the development of museum, library, and information services. We require that your final report include one copy of each written product you create, unless otherwise instructed. These materials may be disseminated broadly and made available in a variety of ways and formats.

### **What do we need to know about copyright and works produced with IMLS support?**

You may copyright any work that is subject to copyright and was developed under an award or for which ownership was purchased. However, we reserve, for federal government purposes, a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. We encourage you to make your works produced with IMLS support widely available, including through the use of open licenses.

### **What do we need to know about digital products produced with IMLS support?**

IMLS is committed to expanding public access to federally funded digital products (i.e., digital content, resources, assets, software, and datasets). We ask that you answer questions that address specific aspects of creating and managing digital products in the Digital Product Form. The form provides additional instructions and guidance. Download the [Digital Product Form](#) (PDF 45KB).

## **Guidance for Research Applications**

Please note that research and information collection is subject to applicable law, including but not limited to 45 C.F.R. pt. 46 (Protection of Human Subjects); see also the [IMLS Assurances and Certifications](#). An effective research application should answer the following questions in the project narrative:

- **What are the specific research questions our project will attempt to answer?**  
List the question or questions that will drive your proposed activities. Research questions should be clear and concise to help reviewers understand what you wish to learn.
- **What is our theoretical framing?**  
What are the concepts, assumptions, expectations, beliefs, and/or theories that support and inform your research and guide your approach to data collection and analysis? If you are proposing to conduct research that will build theory, explain why.
- **What is the relevance of our proposed research for current practice?**  
Discuss how your proposed work builds on existing projects or efforts, including those funded by IMLS. Provide information about how your research can lead to improved museum or library practice and demonstrates you are familiar with current scholarship, including empirical work, in your area of interest.
- **What research methods will we use to conduct the research?**  
Detail the methods you will use to collect and analyze data. Say why they are the most appropriate for addressing the question(s) at hand. Your methods must be replicable and based on current practices.
- **What type of data will we gather?**  
Describe the type of data you will collect and any measures you will take to ensure its validity and reliability. Detail the methods for collecting information along with any potential privacy or human subjects concerns that may arise. List potential challenges in gathering data and explain how you will address them. As noted above, research and information collection is

subject to applicable law, including but not limited to privacy requirements and 45 C.F.R. pt. 46 (Protection of Human Subjects), see also the [IMLS Assurances and Certifications](#).

- **How will we analyze and use the data?**

Describe how you will analyze the results of your research and relate them to your research questions. If applicable, outline an analysis plan that links a set of testable hypotheses to the proposed research question(s). Identify the variables of interest that are key to the investigation, and explain how you will deal with alternative explanations for the observed phenomena.

- **How will we report the information?**

Address how you will communicate the results to a variety of target audiences with different levels of expertise, especially practitioners.

- **How will we manage the research data and make it available for future use (as applicable)?**

Explain how you will manage, share, preserve, and document the information and research products you will create during the project. To do this, complete the [Digital Product Form](#) (PDF 45KB) and include it as part of the application to IMLS.

Data sharing is an essential component of research and expedites the translation of research results into new knowledge and practices. If your project involves the collection and analysis of data, we expect you to include, as part of your application, a data management plan (Part IV of the [Digital Product Form](#) (PDF 45KB) that provides for long-term preservation and access. We expect you to deposit data resulting from IMLS-funded research in a broadly accessible repository that allows the public to use the data without charge no later than the date upon which you submit your final report to IMLS. The data should be deposited in a machine-readable, non-proprietary digital format to maximize search, retrieval, and analysis.

Your project budget may include the costs of preparing the data for public release and for making the data publicly available. In your final report to IMLS, you will be required to identify where your data has been deposited and can be accessed by the public.

We recognize that data sharing may be complicated or limited in some cases by institutional policies; local Institutional Review Board (IRB) rules; and local, state, and federal laws and regulations, including those protecting confidentiality and personal privacy. The rights and privacy of people who participate in IMLS-supported research must be protected at all times. Thus, data intended for broader use should be free of anything that could lead to disclosure of the identity of individual participants. You should identify and explain the reasons for any limitations in your data management plan.

For the purposes of this section, “data” is defined consistent with OMB guidance (please see 2 C.F.R. § 200.315). We reserve a royalty-free, worldwide, nonexclusive, and irrevocable right to: (1) obtain, reproduce, publish or otherwise use the data first produced under a grant; and (2) authorize others to receive, reproduce, publish, or otherwise use such data for federal purposes.

## **Appendix Six – Additional Requirements**

### **Conflict of Interest Requirements**

#### **What conflict of interest requirements must we follow?**

As a non-federal entity, you must follow IMLS conflict of interest policies for federal awards. You must disclose in writing any potential conflict of interest to an IMLS Program Officer, or to the pass-through entity if you are a subrecipient or contractor. This disclosure must take place immediately whether you are an applicant or have an active IMLS award.

The IMLS conflict of interest policies apply to subawards as well as contracts, and are as follows:

- As a non-federal entity, you must maintain written standards of conduct covering conflicts of interest and governing the performance of your employees engaged in the selection, award, and administration of subawards and contracts.
- None of your employees may participate in the selection, award, or administration of a subaward or contract supported by a federal award if he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from an organization considered for a subaward or contract. The officers, employees, and agents of the non-federal entity must neither solicit nor accept gratuities, favors, or anything of monetary value from subrecipients or contractors or parties to subawards or contracts.
- If you have a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian tribe, you must also maintain written standards of conduct covering organizational conflicts of interest. Organizational conflicts of interest means that because of relationships with a parent company, affiliate, or subsidiary organization, you are unable or appear to be unable to be impartial in conducting a subaward or procurement action involving a related organization.

## **Appendix Seven – Resources**

## Non-exhaustive List of Examples of Theoretical Approaches

**Successful projects will demonstrate the viability of using and adapting existing approaches gleaned from the collective impact, social well-being, and community development arenas.**

The following citations as presented as a non-exhaustive list of examples of these approaches. Not that these resources as intended to be illustrative only, are not prescriptive, and do not imply endorsement of any particular resource or approach.

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