INSTITUTE *of* **Museum** and **Library** SERVICES

National Leadership Grants for Libraries

FY 2018 NOTICE OF FUNDING OPPORTUNITY

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National Leadership Grants for Libraries

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Federal Awarding Agency:	Institute of Museum and Library Services
Funding Opportunity Title:	National Leadership Grants for Libraries
Announcement Type:	Notice of Funding Opportunity
Funding Opportunity Number:	NLG-Libraries-FY18-2
Catalog of Federal Financial Assistance (CFDA) Number:	45.312
Due Date:	Submit through Grants.gov by 11:59 p.m. U.S. Eastern Time on February 1, 2018, for Preliminary Proposals; June 8, 2018, for Invited Full Proposals.
Anticipated Date of Notification of Award Decisions:	September 2018 (subject to the availability of funds and IMLS discretion)
Beginning Date of Period of Performance:	Not earlier than October 1, 2018. Projects must begin on October 1, November 1, or December 1, 2018.

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 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 grant program?

National Leadership Grants for Libraries (NLG-L) support projects that address significant challenges and opportunities facing the library and archives fields and that have the potential to advance theory and practice. Successful proposals will generate results such as new tools, research findings, models, services, practices, or alliances that will be widely used, adapted, scaled, or replicated to extend the benefits of federal investment.

We have two FY18 NLG-L funding opportunities, each with two separate deadlines. In addition to the opportunity described in this Notice of Funding Opportunity, a separate NLG-L funding opportunity was announced in July 2017 with a preliminary proposal application submission due date in

September 2017. Both opportunities are subject to the availability of funds and IMLS discretion and procedures.

A2. What are indicators of successful projects?

Indicators (characteristics) of successful projects in the National Leadership Grants for Libraries Program are as follows:

- **National impact:** Your proposal should address key needs, high priority gaps, and challenges that face libraries or archives. It should expand the boundaries within which libraries and archives operate, show the potential for far-reaching impact, influence theory and practice, and build upon current strategic initiatives and agendas in these fields. This could include far-reaching impact across sizes and complexity of institutions; rural or tribal libraries; and/or networks or consortia of cultural heritage institutions that involve libraries or archives.

- **Current significance:** Your proposal should appropriately address a critical emergent issue facing libraries and archives. It should be positioned to catalyze efforts across the field based on a clear understanding of existing work, opportunities, and the broader (e.g., economic, demographic, technological, social) environments and influences surrounding and supporting libraries and archives.

- **Strategic collaborations:** Your proposal should involve key stakeholders and partners necessary to ensure it can succeed and have broad impact from a variety of domains and sectors. These collaborations should establish or build on mutually beneficial national partnerships with allied organizations beyond the library and archives sector with the potential to broadly elevate the role of libraries and archives and expand services to new audiences. Collaborations may strengthen expertise, leverage resources, or enable expanded reach.

- **Demonstrated expertise:** Your proposal should articulate a thorough understanding of current theory and practice. It should establish how the team possesses the necessary skills, experience, and knowledge to realize significant shifts across the sector. It should also demonstrate a thorough understanding of the realities of implementation and the ultimate user adoption of new services, practices, or perspectives.

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 are the funding and project categories?

A4a. The funding categories are:

- Sparks Grant
- Planning Grant
- National Forum Grant
- Project Grant
- Research Grant

Your application must designate one of these five funding categories. You may submit as many applications as you wish; however, the same proposal may not be submitted to IMLS under more than one category. *Please note*: you should submit proposals that focus on education and training of librarians to the Laura Bush 21st Century Librarian grant program.

Sparks Grants support explorations of new approaches or implementations of existing approaches in new contexts.

You may propose activities or approaches that involve risk, but the project results—be they success, failure, or a combination thereof—must offer a potential impact beyond the applicant's own institution. Outcomes may include new processes, workflows, standards, protocols, tools, or services. Sparks Grants are for periods of one year.

Planning Grants allow project teams to perform preliminary planning activities, such as analyzing needs and feasibility; solidifying partnerships; developing project work plans; or developing prototypes, proofs of concept, and pilot studies. Assessing the outcomes of planning activities should be appropriate to this early stage of work. Applications are expected to provide a basic framework for planning activities that have the potential to lead to a future project. Planning Grants are for periods of one year.

National Forum Grants provide the opportunity to convene qualified groups of experts and key stakeholders, including those from adjacent fields as appropriate, to consider issues or challenges that are important to libraries or archives across the nation. National Forum grant recipients are expected to produce reports for wide dissemination with expert opinions for action or research that address key challenge(s) identified in the proposal. Additional mechanisms for engaging stakeholders and building awareness of the findings are encouraged. National Forum Grants are for periods of one to two years.

Project Grants support fully developed projects for which needs assessments, partnership development, feasibility analyses, prototyping, and other planning activities have been completed. Given the national focus of the program, it is essential that projects have clear potential for significant national impact, involve partners from multiple parts of the country, and realistically address growth and sustainability. Projects may scale or further evolve an earlier phase of work, but should not simply sustain an existing project. Project Grants are for periods of one to three years.

Research Grants involve the investigation of key questions important to library or archival practice. Basic and applied research projects should build upon prior empirical or theoretical work in libraries and archives or other fields, such as anthropology, learning sciences, sociology, etc., as appropriate. Research proposals should include clearly articulated research questions; feature data collection and analysis methods that help the project team answer their questions; and include dissemination strategies that allow the research team to share broadly the research findings and implications of the findings for libraries and archives. See guidance for research applications. Research Grants are for periods of one to three years.

A4b. What are the project categories?

The project categories are:

- Community Anchors
- National Digital Platform
- Curating Collections

Your application must designate one of these three project categories. You may submit as many applications as you wish; however, the same proposal may not be submitted to IMLS under more than one category. Below is detailed information about each project category.

Community Anchors: We are interested in projects that advance the role of libraries and archives as community anchors or backbone institutions through programs, services, or partnerships. Proposals should encourage civic and cultural engagement, foster community dialogue, facilitate lifelong learning, promote digital inclusion, enhance equity and access, and support economic vitality. The benefits of projects must not be limited to the local community but also advance national practice. Projects in this category may focus on:

- Identifying, establishing, and refining methods for collaborations between libraries and stakeholders to address community needs. The strategies and frameworks that are developed must be broadly applicable and have the potential to be scaled and implemented in a variety of settings at a national level. Possible partner organizations might include, but are not limited

to museums, school systems, youth service organizations, community development groups, city departments, urban planners, or workforce development organizations.

- Exploring and/or developing new, replicable, design-based, and responsive library programming models and tools that engage communities and provide learning experiences for patrons across the lifespan, with a focus on underserved communities. Identification of opportunities should be based on thoughtful analysis of community needs through a range of approaches that might include asset mapping, innovative partnership development, public data mining, and creating indicators with the community. Possible audiences might include, but are not limited to, young children and their families/caregivers; tweens and teens; un- and underemployed adults; veterans; immigrants and refugees; people with disabilities; English language learners; and senior citizens.

- Developing, implementing, assessing, and scaling programs, services, and tools focused on meeting the needs of communities. These may include, but are not limited to workforce and economic development; civic and digital literacy; early learning; community archiving; and informal STEM education opportunities including gaming, making, and citizen science.

- Investigating widespread community challenges that both inform and are informed by current library and archival practice; feature mutually beneficial relationships between researchers and practitioners; and communicate research findings in ways that will lead to demonstrable improvements in library services, sustained community engagement, and increased reach to new and existing library and archive users and underserved audiences. Findings, including unexpected results and challenges, should be shared broadly—with other libraries and archives, institutions, communities, states, local governments, and individuals across the nation—throughout the grant period, rather than exclusively at the conclusion of a project. Project teams should work to ensure that new practices have the potential to be easily adoptable, affordable, sustainable, and widely implementable.

National Digital Platform: We are interested in proposals that expand the digital capacity and capability of libraries and archives to provide content and services to all users in the United States. Projects in this category may focus on:

- Developing new or improving open source digital library tools that build on existing work, are grounded in the needs of a wide range of libraries and archives, and involve a range of partners who will be involved in iterative testing and use case development. This work might include improving usability, or user community involvement in these tools.

- Addressing intersections between digital issues facing libraries and cutting edge work in other sectors to yield broadly applicable modeling or analytic methods and tools. For example, projects might address digital humanities, digital sciences, civic data initiatives, or open educational resources. Projects should be collaborative in nature and draw from expertise in multiple domains and sectors.

- Researching the need for and impact of investments in national digital library infrastructures and services. This could involve the development of approaches to measuring and assessing the value and impact of digital collections to various user communities. It could also involve documenting opportunities for libraries to meet their users' demand for digital content areas, such as ebooks, and might explore growth models, user adoption and retention, and

mechanisms for sustainability for such infrastructures and services. This may also include work in digital inclusion efforts focused on expanding broadband access and connectivity.

Curating Collections: We are interested in proposals that can have a significant national impact on shared services for the access, preservation and/or stewardship of digital library collections and content across the country. Projects focused on preserving or providing access to a particular collection or set of collections cannot be supported. Similarly, the program cannot support the digitization of content or pre-digitization activities such as inventorying collections. Projects in this category may focus on:

- Rapid prototyping and testing of workflows and processes for preserving, providing access to and encouraging use and reuse of digital collections.

- Catalyzing regional or national efforts to establish plans for shared services for preserving, conserving, providing access to, and interpreting digital content for the research, educational, and public communities.

- Scaling out regional or national infrastructure and shared services for the management, description, or analysis of digital collections in libraries. These projects should build on or help the development of sustainable alliances and networks of libraries and include plans for broadening those alliances and networks. These projects should also clearly articulate how they plan to recruit and support smaller and mid-sized libraries' engagement with infrastructure and services.

- Exploring methods and techniques for providing digital access to users at scale. This may include issues such as digital stewardship, data curation, applications of linked data, digital archiving with communities, or crowdsourcing.

A4c. 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.

Note that there are also funding restrictions that could affect the eligibility of a project; please consult Section D7 below for details.

A5. 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).

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

Total amount of funding expected to be awarded through this announcement	$5,700,000
Anticipated number of awards	12

Expected amounts of individual awards	Sparks Grants	Up to $25,000
	Planning Grants	Up to $50,000
	National Forum Grants	Up to $100,000
	Project Grants	Up to $2,000,000
	Research Grants	Up to $2,000,000

Average amount of funding per award experienced in previous years	$460,000
Anticipated start dates for new awards	Not earlier than October 1, 2018. Projects must begin on October 1, November 1, or December 1, 2018.
Anticipated period of performance	October 1, 2018–September 30, 2021. Project activities may be carried out for one to three years (please see Section A4 above).
Type of assistance instrument	Grant

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 program?

To be eligible as an applicant for the National Leadership Grants for Libraries Program, you must be either a unit of State or local government or be a private, nonprofit institution that has nonprofit status under the Internal Revenue Code of 1954, as amended, and 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.

In addition, you must qualify as one of the following:

- 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 an 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.

We recognize the potential for valuable contributions to the overall goals of the NLG-L program by entities that do not meet the eligibility requirements above. Although such entities may not serve as the official applicants, they are encouraged to participate in projects. Federally operated libraries and museums may not apply for NLG-L grants, but they may participate with applicants. Contact us before

submitting a proposal involving a federal agency or federal collection. Non-federal entities may serve as subrecipients or contractors and may receive IMLS grant funds as a result of the project. Consult with us about any eligibility questions before submitting an application.

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

Note: Please consult Section D below to see if there is any documentation that must be submitted to support an eligibility determination (for example, proof of private nonprofit institution status as determined by the Internal Revenue Service).

Note that there are also funding restrictions that could affect the eligibility of a project; please consult Section D7 below for details.

C2. What are the cost-sharing requirements for this program?

Cost sharing is not considered in the review of applications, but is an eligibility criterion for certain NLG-L projects, as follows:

Funding Category	Award Amount	Cost Share Requirement
Sparks Grant	Up to $25,000	No cost share required
Planning Grants	Up to $50,000	No cost share required
National Forum Grants	Up to $100,000	No cost share required
Project Grants	Up to $2,000,000	Projects requesting $250,000 or more in IMLS funds require 1:1 cost share
Research Grants	Up to $2,000,000	No cost share required

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 multiple applications under this announcement. Individual project directors may be named on multiple applications under this announcement. However, the same proposal may not be submitted to IMLS under more than one funding category listed in Section A4a above. Generally, single institutions will receive only 1-2 grants per program during any one cycle.

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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.

C3d. Additional Eligibility Information

The application process for the NLG-L program is a two-phase process. In the first phase (Preliminary Proposal phase), all applicants must submit a two-page preliminary proposal by the deadline listed above. Selected applicants will be invited to submit full proposals in the second phase (Invited Full Proposal phase) of the process. Only invited full proposals will be considered for funding.

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-Libraries-FY18-2

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 202-653-4700.

D1c. What content and form are required to make a complete application?

The application process for the NLG-L program has two phases. In the first phase, all applicants must submit a two-page preliminary proposal (Part I: Components of Preliminary Proposals) by the deadline listed above. Selected applicants will be invited to submit full proposals (Part II: Components of Invited

Full Proposals) in the second phase of the process. Only invited full proposals will be considered for funding.

D2. What content and form are required to make a complete application for Part I (Preliminary Proposal)?

Part I: Components of Preliminary Proposals

The Table of Application Components below will help you prepare a complete preliminary proposal 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

Component	Format	File name to use
Required Documents		
The Application for Federal Domestic Assistance/Short Organizational Form (SF-424S)	Grants.gov form	n/a
IMLS Program Information Sheet	IMLS PDF form	Programinfo.pdf
Preliminary Proposal Narrative (two pages max.)	PDF document	Preliminaryproposal.pdf

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 will 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.

D2b. 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. ### IMLS Program Information Sheet

   Download and complete the IMLS Program Information Sheet (PDF, 1.4MB). See Appendix Four for a copy of the IMLS Program Information Sheet.

3. ### Preliminary Proposal Narrative

   Instructions are listed in the following section.

D2c. Preliminary Proposal Narrative

A preliminary proposal should be no longer than two pages and follow the general sections of a full proposal narrative: statement of national need, project design, and national impact. Briefly describe the national need for the project and its relevance to a project category, then lay out the project's proposed work plan and projected national impact, including specific performance goals and outcomes.

You must conclude the preliminary proposal with a budget summary. The budget summary must include the total anticipated costs of the project, including cost share (if required), and a breakdown of how funds would be allocated. **Proposals that do not include a budget summary will be rejected without review.**

Save this document as a PDF. 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. Include a project title at the top of the first page. In the first few sentences of your proposal, provide a summary that includes the: name of the lead applicant organization; amount of IMLS funds requested and amount of funds provided as cost share (if required); partner organizations; and main question, objective, or anticipated result of the project.

If your proposal is selected for funding, this document may be published online. As such, it must not include any sensitive, proprietary, or confidential information.

D2d. Who should I contact if I have questions while developing my proposal?

Prior to submitting a preliminary proposal, applicants are encouraged to contact IMLS program officers, who can offer general information about the Notice of Funding Opportunity and the review process. IMLS Program Officer contact information is available on the National Leadership Grants program page.

D3. What content and form are required to make a complete application for Part II (Invited Full Proposal)?

Part II: Components of Full Proposals

If you are invited to submit a full proposal you must submit a complete application by 11:59 p.m. U.S. Eastern Time on June 8, 2018. We make grants only to eligible applicants that submit complete full proposal applications through Grants.gov, on or before this deadline. Complete applications will be accepted only from applicants who have submitted preliminary proposals and have been invited to submit a full proposal.

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.

D3a. Table of Application Components

Component	Format	File name to use
Required Documents		
The Application for Federal Domestic Assistance/Short Organizational Form (SF-424S)	Grants.gov form	n/a
Abstract (one page max.)	PDF document	Abstract.pdf
IMLS Program Information Sheet	IMLS PDF form	Programinfo.pdf
Organizational Profile (one page max.)	PDF document	Organizationalprofile.pdf
Narrative (ten pages max.)	PDF document	Narrative.pdf
Schedule of Completion (one page per year max.)	PDF document	Scheduleofcompletion.pdf
IMLS Budget Form	IMLS PDF form	Budget.pdf
Budget Justification	PDF document	Budgetjustification.pdf
List of Key Project Staff and Consultants (one page max.)	PDF document	Projectstaff.pdf

Resumes of Key Project Staff and Consultants Who Appear on the List Above (two pages each max.)	PDF document	Resumes.pdf
Digital Product Form	IMLS PDF document	Digitalproduct.pdf
Conditionally Required Documents		
Proof of Private, Nonprofit Status	PDF document	Proofnonprofit.pdf
Final Federally Negotiated Indirect Cost Rate Agreement	PDF document	Indirectcostrate.pdf
Supporting Documents		
Information that supplements the narrative and supports the project description provided in the application	PDF document	Supportingdoc1.pdf Supportingdoc2.pdf Supportingdoc3.pdf

D3b. 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.

D3c. Instructions for 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 and save it as a PDF.

    a. Who is the lead applicant and, if applicable, who are the collaborators?
    b. What do you plan to accomplish and why?
    c. What is the time frame for the project?
    d. What library and community needs will the project address?
    e. Who is the intended audience for the activities?
    f. What will be the specific project activities, performance goals, outcomes, results, and tangible products?
    g. What are the intended outcomes for audience members in terms of measurable changes in knowledge, attitudes, or behavior?

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

3. IMLS Program Information Sheet

Download and complete the IMLS Program Information Sheet (PDF, 1.4MB). Click here for instructions on 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. Full Proposal Narrative

Structure your narrative according to the following outline, using the four section titles and addressing the bullet points beneath them. Address the sections of the narrative separately and in the same order in which they are listed below. In each section, be mindful of the characteristics of successful NLG-L projects in the areas of national impact, current significance, strategic collaborations, and demonstrated expertise; refer to Section A2 for more information on indicators of successful projects. Be certain that your narrative clearly states how it fits into IMLS funding priorities; refer to Section A3 for more information on IMLS agency-level goals.

Limit the narrative to ten single-spaced, numbered pages. We will remove any pages above the ten-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 your application. If your proposed project is selected for funding, this document may be published online. As such, it must not include any sensitive or confidential information.

Full Proposal Outline

Statement of National Need

Provide a justification for the proposed project as it relates to a national field-wide need or challenge. Address the following questions:

Questions to Address	Review Criteria
What current, nationally significant challenge does your proposal address? Specifically, how will your project address the issues identified in the project category you selected?	Does the proposal make a compelling case for the significance and timeliness of the proposed project? How well does the proposed project address the goals of the NLG-L program and project category?
Who will benefit from the project? How have you identified or assessed the challenges or needs of this audience or participants?	Are potential beneficiaries well described and appropriate for this grant program? Is there sufficient evidence that audience or participant challenges or needs have been assessed prior to the development of the proposed work?
How does this proposed project differ from, complement, or build upon theory, scholarship, and practice in this area?	Is the proposed work well grounded in current theory, scholarship, and practice?

Project Design

Provide a description of the proposed work plan. Address the following questions:

Questions to Address	Review Criteria
What are the goals, projected outcomes, and assumptions of your project?	Are the goals, projected outcomes, and assumptions clearly stated? Do the goals and outcomes align with the indicators of successful projects and agency-level goals in Section A above?

What are the potential risks to the project and are they accounted for in the work plan?	Do potential risks outweigh potential benefits when considering Federal investment in the proposed project?
How are project activities informed by appropriate theory and practice?	Are the proposed activities well informed by appropriate theory and practice?
When and in what sequence will activities occur?	Will the activities achieve the listed goals and outcomes? Is the schedule of work realistic and achievable? Is a clear plan described for tracking the project's progress and adjusting course when necessary?
How does the project design allow for input, consensus building, and buy-in from others inside or outside the field? If the project involves working with the community/public how will their perspectives and contributions incorporated in to the project design?	Are methods or modes of supporting input, consensus building, and buy-in from others thoughtfully considered and addressed by the project team?
Who is the audience for the project and how will they participate?	Are audiences clearly described? Does the project design account for relevant and appropriate outreach, engagement, and attrition strategies?
If applicable, what are your plans to meet the needs of underserved communities? How are those needs assessed and those communities involved in creating and implementing parts of your work plan?	If applicable, are plans to meet the needs of underserved communities clearly articulated and realistic?
Who will plan, implement, and manage your project?	Do the project team members have the necessary expertise, background, and capacity to successfully plan, implement, and manage the proposed work?
What time, personnel, financial, and other resources will you need to carry out the activities?	Are the identified time, personnel, financial and other resources appropriate for the scope and scale of the project?

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How will you track your progress toward achieving projected goals and intended outcomes? How will you include evaluation and performance measurement in your plan?	Are clear methods described for tracking the project's progress and adjusting course when necessary? Are the proposed evaluation activities and performance measurements appropriate for the project? Will project activities result in findings that can inform future work?
How and with whom will you share your project findings? How will results of the project be made available?	Is there an effective plan for communicating results and sharing findings in a manner that has potential for national impact?
For Project Grant proposals only: How do you plan to sustain the project beyond the funding period (if applicable)?	For Project Grant proposals only: Is there a plan for sustaining the project beyond the period of funding and, if so, is the plan realistic and appropriate?
For Research Grant proposals only: • What is your research question(s)? Who, if anyone, will help you answer your questions? How? • What is your theoretical or conceptual framing? • How will you collect data? What kind of data will you collect? How will you analyze it? • If applicable, who are your participants? Describe them. • How will you translate and publicly share research findings for practitioners? • See also Guidance for Research Applications for further guidance on how to write an effective research application.	For Research Grant proposals only: • Does the proposal include research questions? If so, are the questions of significant interest to the library and archives fields? • Are articulated research methods adequate and appropriate to answer the research questions? • Is the dissemination and communication plan comprehensive in terms of broad reach to researchers, practitioners, other communities of interest, and the public?

Diversity Plan

If applicable, describe how the project engages diverse or underserved communities and their shared experiences, worldviews, and ways of learning, including:

Questions to Address	Review Criteria
Who are the diverse or underserved communities that will be served by this project and how were they identified?	Does the application appear to adequately identify and describe the diverse or underserved communities involved in the project?
What are the unique needs of the community members that will be served by this project?	Does the application appear to adequately describe the needs of the communities that will be served by this project?
How will the proposed project address the needs of those communities? How is the community involved in defining the needs and in the implementation of the project?	Do the proposed activities appear to appropriately address the needs of the diverse or underserved communities?

National Impact

Describe the anticipated national impact of the proposed work. Address the following questions:

Questions to Address	Review Criteria
How might your project scale, transform practice, or otherwise lead to systemic change within the community and at the national level?	Does the proposal make a compelling case for how it might scale, transform practice, or otherwise lead to systemic change within the community and at the national level?
What are the findings or products from this project that will benefit multiple institutions and audiences?	Are the project's intended findings or products results clearly articulated, appropriate, and realistic? Will the proposed project generate results that can extend beyond a single institution to benefit multiple institutions and audiences?
How will you ensure project products are readily adaptable to other institutions and communities?	Does the proposal adequately describe how it will ensure products will be readily adaptable to other institutions and communities?
For Project Grant and Research Grant proposals only: How do you plan to sustain project outputs or resources?	Is there a well-grounded and practical plan for sustaining the outputs or resources of the project beyond the conclusion of the award? If applicable, does the proposal include plans for preserving and maintaining digital content beyond the grant period?

Referring to the Performance Goal(s) and Performance Measure Statement(s) selected on the Program Information Sheet prepared for your application, how will you collect and report the corresponding data?	Are the Performance Goal(s) and Performance Measure Statement(s) described and explained?
What are the benchmarks for the project's performance measures? How will you measure success with these benchmarks?	Does the proposal provide an appropriate plan for measuring success?

6. Schedule of Completion

Create a schedule of completion and save it as a PDF. Click here for instructions on creating a schedule of completion.

7. IMLS Budget Form

Download and complete the current IMLS Budget Form (PDF, 1.1MB). Click here for instructions on completing the budget form. Java Script must be enabled.

8. Budget Justification

Write a budget justification and save it as a PDF. Click here for instructions on creating the budget justification.

9. List of Key Project Staff and Consultants

Write a one-page list of 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.

10. Resumes of Key Project Staff and Consultants Who 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.

11. Digital Product Form

IMLS defines digital products very broadly (digital content, resources, assets, 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 stating "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.

D3d. Conditionally Required Documents

If either of the conditions below (nonprofit status or federally negotiated indirect cost rate) applies for your proposal, you must submit the appropriate 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 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.

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 CFR part 200, including 2 CFR 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.

D3e. 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 of commitment from any third party that will receive grant funds or from entities that will contribute substantive funds to the completion of project activities
- Letters of commitment from partners or other groups who will work closely with you on your project
- Bibliography or references relevant to your proposed project design or evaluation strategy
- Letters of support from experts and stakeholders
- Position descriptions for project staff (if not included with resumes for key personnel) to be supported by grant or cost share funds
- Reports from planning activities

- Contractor quotes
- Equipment specifications
- Products or evaluations from previously completed or ongoing projects of a similar nature
- Collections, technology, or other departmental plans for the organization as applicable to the proposed project
- Web links to relevant online materials
- Needs assessments

D4. 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.

D4a. 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.

D4b. What is the System for Award Management (SAM.gov) and how do we register?

SAM.gov is the official U.S. Government system that consolidates 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.

D4c. 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.

D5. 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 National Leadership Grants for Libraries Program, Grants.gov will accept applications through 11:59 p.m. U.S. Eastern Time on February 1, 2018, for preliminary proposals; June 8, 2018, for invited, full proposals.

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.

D5a. 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. For further details, please consult Grants.gov.

D6. Is there an intergovernmental review?

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

D7. 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:

- project personnel (contract or in-house) whose staff time is necessary for the proper and efficient execution of the project;
- project consultants;
- project-related travel of key project staff and consultants;
- purchase of equipment, materials, supplies, or services;
- project development and implementation, during the award period of performance;
- integration of technology into operations or programs;
- publications based on project activities;
- software development;
- evaluation to show the extent to which the project has met its goals; and
- 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;
- general operating support;
- acquisition of collections;
- 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.);
- projects in which the majority of requested funds go to training library or archive staff;
- contributions to endowments;
- social activities, ceremonies, receptions, or entertainment; and
- pre-award costs.

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

D7a. 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.

D7b. 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 D3c of this document. Reviewers consider all required, conditionally required, and supporting documents, as listed in Section D3.

E1a. 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 is not required for research grants. 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 September 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 (PDF, 278KB) 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 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: 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.

F3a. 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?

Click here for IMLS staff contact 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 hosts 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], 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 <u>sharing and copyright of IMLS-supported work products</u> and <u>management of digital products</u> (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. <u>Click here for more information about IMLS conflict of interest requirements</u>.

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

You can check the <u>IMLS website</u> 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 <u>www.imls.gov/grants/become-reviewer</u>. 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 <u>Section D</u>. 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-0020, Expiration date: 7/31/2018

H10. PRA Clearance Number:

INSTITUTE *of* **Museum** *and* **Library** SERVICES

OMB Control #: 3137-0091, Expiration date: 7/31/2018

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.

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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. 11738;

c. protection of wetlands pursuant to Exec. Order No. 11990, as amended by Exec. Order No. 12,608;

d. evaluation of flood hazards in floodplains in accordance with Exec. Order No. 11988, as amended;

e. assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.);

f. conformity of federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);

g. protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and

h. protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. § 1531–1543).

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

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the flood insurance 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 http://www.dnb.com/duns-number.html.

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, 789KB) 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
	Survey Respondent: Program/Project Participants	*Data to be Collected*
Train and develop museum and library professionals.	My understanding has increased as a result of this program/training: Strongly Agree Agree Neither Agree, nor Disagree Disagree Strongly Disagree	• Number of participants • Number of total responses • Number of responses per answer option • Number of non-responses
	My interest in this subject has increased as a result of this program/training: Strongly Agree Agree Neither Agree, nor Disagree Disagree Strongly Disagree	• Number of participants • Number of total responses • Number of responses per answer option • Number of non-responses
	I am confident I can apply what I learned in this program/training: Strongly Agree Agree Neither Agree, Nor Disagree Disagree Strongly Disagree	• Number of participants • Number of total responses • Number of responses per answer option • Number of non-responses
	My understanding has increased as a result of this program/training:	• Number of participants • Number of total responses

Support communities of practice	Strongly Agree Agree Neither Agree, Nor Disagree Disagree Strongly Disagree	• Number of responses per answer option • Number of non-responses
	My interest in this subject has increased as a result of this program/training: Strongly Agree Agree Neither Agree, Nor Disagree Disagree Strongly Disagree	• Number of participants • Number of total responses • Number of responses per answer option • Number of non-responses
	I am confident I can apply what I learned in this program/training: Strongly Agree Agree Neither Agree, Nor Disagree Disagree Strongly Disagree	• Number of participants • Number of total responses • Number of responses per answer option • Number of non-responses
Develop and provide inclusive and accessible learning opportunities	My understanding has increased as a result of this program/training: Strongly Agree Agree Neither Agree, Nor Disagree Disagree Strongly Disagree	• Number of participants • Number of total responses • Number of responses per answer option • Number of non-responses
	My interest in this subject has increased as a result of this program/training: Strongly Agree Agree Neither Agree, Nor Disagree Disagree Strongly Disagree	• Number of participants • Number of total responses • Number of responses per answer option • Number of non-responses

IMLS Agency-Level Goal 2: Community

Performance Goal	Performance Measure Statement Outcome Based	Information to be Collected and Reported
	Survey Respondent: Grantee	*Data to be Collected*

Strengthen museums and libraries as essential partners in addressing the needs of their communities.	My organization is better prepared to provide a program or service that addresses community needs. Strongly Agree Agree Neither Agree, Nor Disagree Disagree Strongly Disagree	• Number of total responses • Number of responses per answer option • Number of non-responses
	My organization is better able to engage my community. Strongly Agree Agree Neither Agree, nor Disagree Disagree Strongly Disagree	• Number of total responses • Number of responses per answer option • Number of non-responses
	My organization is better prepared to develop and maintain on-going relationships with community partners. Strongly Agree Agree Neither Agree, nor Disagree Disagree Strongly Disagree	• Number of total responses • Number of responses per answer option • Number of non-responses
	My organization is better prepared to share knowledge and other resources as an active contributor to problem solving in the community. Strongly Agree Agree Neither Agree, nor Disagree Disagree Strongly Disagree	• Number of total responses • Number of responses per answer option • Number of non-responses
	The museum or library offers programs, services, or resources that address community needs. Strongly Agree Agree Neither Agree, nor Disagree Disagree Strongly Disagree	• Number of total responses • Number of responses per answer option • Number of non-responses

	The museum or library is an active contributor to problem solving in the community.
	    Strongly Agree
	    Agree
	    Neither Agree, nor Disagree
	    Disagree
	    Strongly Disagree
		• Number of total responses
		• Number of responses per answer option
		• Number of non-responses

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 <u>IMLS Assurances and Certifications</u>, 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 pm 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: Make one selection in each category: 3.b.1 (funding category), 3.b.2 (project category).

4. Performance Goals: Select one of the three IMLS agency-level goals (a – c). Check at least one of the performance goals listed beneath it. **Note**: If you select a performance goal(s) under agency-level goals a) Learning or b) Community, click on the link below it 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: <u>Performance Measure Statements and Information to be Collected and Reported for Learning and Community Projects</u>.

5. Funding Request Information:

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

  b. Cost share amount: If your proposal includes cost share, enter the amount of non-federal funding you are providing. <u>See Section C2 for cost share requirements</u>.

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

7. Museum Profile: Skip this section.

8. Project Elements: Skip this section.

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.

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- 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.
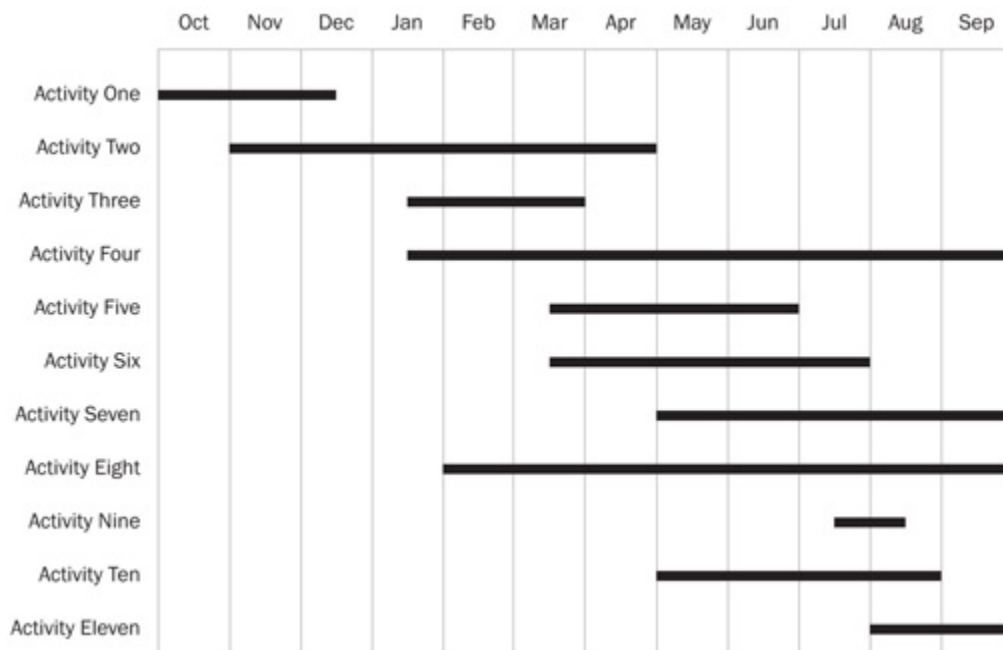
IMLS Budget Form

Download the IMLS Budget Form (PDF, 1.1MB).

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.

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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: Fringe benefits can only be claimed as a direct cost for those positions included in your direct 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

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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 <u>click here for a definition and examples of student support</u>.

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. <u>Click here for more information about indirect costs</u>.

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. part 200, including 2 CFR sections 200.68, 200.414(f), and 200.510(b)(6), for additional guidance.

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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 sub-award. 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. (Note: for pre-professional project proposals submitted to the Laura Bush 21st Century Librarian Program, the definition of students also includes those at the middle school level or above.)
- 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 as any digital content, 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 require that you follow the directions addressing specific aspects of creating and managing digital products in the Digital Product Form. Download the Click here to access 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.

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 demonstrate 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)?

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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, 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.

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

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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 require that you follow the directions addressing specific aspects of creating and managing digital products in the Digital Product Form. The form provides additional instructions and guidance. Click here to access the Digital Product Form (PDF, 45KB).

Appendix Six – Conflict of Interest 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.