



INSTITUTE of
Museum and Library
SERVICES

2008

Connecting
to Collections

Statewide Planning Grants

Grant Program Guidelines
and Application Forms

CFDA No. 45.312

Application Deadline: October 16, 2007

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

FOR MORE INFORMATION, CALL OR WRITE:

Statewide Planning Grants Staff

Christine Henry, Senior Program Officer
Phone: 202/653-4674
E-mail: chenry@imls.gov

Office of Museum Services
General phone: 202/653-4789

Institute of Museum and Library Services
1800 M Street, NW, 9th Floor
Washington, DC 20036-5802
General phone: 202/653-IMLS (4657)
General e-mail: imlsinfo@imls.gov
Web site: www.imls.gov

Office of Management and Budget Clearance Numbers

Guidelines: OMB No. 3137-0029 Expiration Date 7/31/2010
Forms: OMB No. 3137-0071; Expiration Date: 7/31/2010.

Burden Estimates and Request for Public Comments

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

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

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

DEAR COLLEAGUES

I am pleased to present the 2008 guidelines for *Connecting to Collections: Statewide Planning Grants*. The challenge of safeguarding our communities' most cherished collections for future generations could not be timelier or more important.

For the past year, IMLS and its partners have been drawing attention to the findings and recommendations of *A Public Trust at Risk: The Heritage Health Index Report on the State of America's Collections (HHI)*, a landmark study conducted by Heritage Preservation in partnership with IMLS. Our *Connecting to Collections: A Call to Action* initiative has already resulted in a successful national summit on conservation and preservation, the signing of a cooperative agreement to create a conservation "bookshelf," and the issuance of a request for proposals to support *Connecting to Collections: The National Tour*.

The Statewide Planning Grants represent an equally important component of our national initiative. These grants are aimed at fostering effective partnerships among organizations that have a strong commitment to the collections stewardship goals of a given state, commonwealth, or territory. Over the course of two years, we hope to make one grant to each eligible state or territory so that each of these entities can move closer to achieving the recommendations of HHI through an appropriate and achievable plan for action.

I encourage you to take this opportunity to apply for a 2008 *Connecting to Collections Statewide Planning Grant*.

Sincerely,

A handwritten signature in blue ink that reads "Anne-Imelda M. Radice". The signature is written in a cursive, flowing style.

Anne-Imelda M. Radice, PhD
Director

TABLE OF CONTENTS

General Information

About the Institute of Museum and Library Services	6
The Connecting to Collections Initiative	7
About Connecting to Collections: Statewide Planning Grants	8
Institutional Eligibility	9
Data Universal Numbering System (DUNS), Taxpayer Identification Number (TIN), and Employer Identification Number (EIN)	10
Award Information	11
Cost sharing	11
Project Start Date	11
Use of Funds	11
Announcement of Awards	11
Reporting Instructions	12
Application Review Process	13
Grants.Gov information and instructions	15
Find Grant Opportunities	15
Get Registered	15
Apply for Grants	16
Step 1: Download a grant application package.....	16
Step 2: Complete the grant application package	16
Step 3: Submit the completed grant application package.....	16
Step 4: Track the status of a submitted grant application package	16
Grants.gov Help	17

Preparing and Submitting an Application

Application Components	18
Naming the files and their sequence.....	19
SF-424s.....	20
Program Information Sheet.....	22
Narrative.....	23
Budget	24
Detailed Budget.....	24
Summary Budget	26
Budget Justification	26
Explanation of Budget Surplus or Deficit	26
Partnership Statement	27
Schedule of Completion	27
Organizational profile	29
Project Staff and Resumes	29

IMLS Assurances and Certification

Assurances Statement	31
Certifications Required of All Applicants	31
Financial, Administrative, and Legal Accountability	31
Federal Debt Status	31
Suspension, Debarment, and Other Responsibility Matters	31
Nondiscrimination	32
Drug-Free Workplace	32
General Certification	32
Certifications Required of Some Applicants.....	32
Subcontracts	33

SECTION 1:
GENERAL INFORMATION

ABOUT THE INSTITUTE OF MUSEUM AND LIBRARY SERVICES

The Institute of Museum and Library Services is the primary source of federal support for the nation's 122,000 libraries and 17,500 museums. The Institute's mission is to create strong libraries and museums that connect people to information and ideas. The Institute works at the national level and in coordination with state and local organizations to sustain heritage, culture, and knowledge; enhance learning and innovation; and support professional development. To learn more about the Institute, please visit www.ims.gov.

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

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

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

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

THE CONNECTING TO COLLECTIONS INITIATIVE

In celebration of the 10th anniversary of the Institute of Museum and Library Services (IMLS), the 30th anniversary of federal funding for museums, and the 50th anniversary of federal funding for libraries, the IMLS is launching a major, multifaceted initiative on behalf of our nation's collections. The goal of this national initiative, *Connecting to Collections: A Call to Action*, is to raise public awareness about the urgent need to care for our nation's collections and to give museums and libraries the information and tools they need to care for their collections in the best possible way. This call for improved collections care is due in large part to the IMLS-supported *Heritage Health Index* (HHI), the first comprehensive survey ever conducted of the condition and preservation needs of our nation's collections. The HHI found that artifacts in America's collections are at risk and require immediate attention and care, for they represent our national patrimony and serve to teach and inspire. They are a public trust that must be protected for future generations. For more information please refer to the HHI website at: www.heritagepreservation.org/HHI.

The components of *Connecting to Collections: A Call to Action* are:

- a National Conservation Summit (June 27-28, 2007, in Washington, DC);
- four *Connecting to Collections* forums in cities across the country;
- the IMLS Connecting to Collections Bookshelf, a compendium of core texts on collections care to be distributed to 2,000 small and mid-sized museums and libraries nationwide; and
- Statewide Planning Grants, which will encourage each state, commonwealth, and territory to develop plans for collections care and management, including emergency preparedness plans.

All of these activities place a spotlight on collections care and develop strategies to address the challenges outlined in the HHI.

ABOUT CONNECTING TO COLLECTIONS: STATEWIDE PLANNING GRANTS

The agency invites proposals for statewide, collaborative planning grants to address the recommendations of the *Heritage Health Index* (HHI), which found the collections held in the public trust by libraries, museums, and archives to be at great risk. The report offered four recommendations for collecting institutions:

- that they provide safe conditions for their collections;
- that they develop an emergency plan;
- that they assign responsibility for collections care; and
- that they marshal public and private support for and raise public awareness about collections care.

These planning grants are intended to engage institutions with responsibility for collections stewardship within a state, commonwealth, or territory in consultation and planning for ways to address the HHI recommendations most relevant for their state. It is not necessary for all four recommendations to be addressed, but all four may, indeed, be pertinent. These grants are aimed at fostering effective partnerships among organizations that have a strong commitment to shared collections stewardship goals. This program will fund ongoing or new collaborations. Projects may build on previous or nascent statewide planning efforts. Projects should demonstrate how the participating organizations (representing libraries, museums, archives, and other relevant statewide organizations) will work together in a planning process that moves the state closer to achieving the recommendations of the HHI through an appropriate and achievable plan for action. These planning grants are a central component of the *Connecting to Collections: A Call to Action* initiative and will result in a series of models and best practices for institutions nationwide.

There will be two grant competitions, in FY 2008 and FY 2009, with the goal of making one award per state. IMLS also plans to offer a limited number of implementation grants of up to \$500,000 each in order to help implement model statewide plans. IMLS will post excellent statewide plans and best practices on the agency's website as part of this initiative.

INSTITUTIONAL ELIGIBILITY

All applications are required to reflect multiple partnerships, including representatives of libraries, museums, archives, statewide service organizations and state agencies. Any U.S. nonprofit library or museum is eligible (please see IMLS eligibility criteria at www.imls.gov/applicants/criteria.shtm a full definition of these kinds of institutions). In addition, a library or museum consortium or association is eligible to apply. Any single organization need not have statewide stewardship; this statewide perspective can be achieved through partnerships. More than one application may be submitted from an individual state, commonwealth, or territory, but only one application per state will be funded. Individuals are not eligible to apply.

DATA UNIVERSAL NUMBERING SYSTEM (DUNS), TAXPAYER IDENTIFICATION NUMBER (TIN), AND EMPLOYER IDENTIFICATION NUMBER (EIN)

To improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget (OMB) has directed all federal agencies to require all applicants for federal grants to provide a Dun and Bradstreet Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements on or after October 1, 2003.

Organizations should verify that they have a DUNS number or take steps to obtain one. Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1-866-705-5711 or by visiting www.dnb.com/us. Individuals who would personally receive a grant or cooperative agreement award from the federal government apart from any business or nonprofit organization they may operate are exempt from this requirement.

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

If an organization does not have DUNS and TIN numbers, its application will be rejected.

AWARD INFORMATION

These awards are for up to \$40,000. If needed, project activities supported by the grants may be carried out for up to two years. In the course of this two-year initiative, IMLS hopes to make one award in each state, commonwealth, or territory.

Cost sharing

Encouraged but not required for these planning grants

Project Start Date

Projects may begin no earlier than March 1, 2008, and no later than May 1, 2008. Projects must begin on the first day of the month and end on the last day of the month.

Use of Funds

Grant funds may not be used for

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

Allowable Expenses include such items as

- Costs for collaborative planning meetings
- Databases
- Supplies and postage
- Travel/mileage expenses
- Staffing of the project
- Consultants' fees
- Needs assessments

All proposed expenses must be justified in the application budget.

Announcement of Awards

No information about the status of an application will be released until the applications have been reviewed and all deliberations are concluded. IMLS will notify applicants of final decisions by February 1, 2008, with projects to begin no earlier than March 1, 2008.

Reporting Instructions

Grant recipients are required to submit interim performance reports every six months during the grant period as well as annual financial reports. They are also required to submit a final performance report and a final financial report at the end of the grant period. The final narrative final performance report should document project goals and project achievements, summarize lessons learned, and analyze results. See report forms at www.imls.gov/docs/rptInstructions.doc

APPLICATION REVIEW PROCESS

IMLS staff determines whether an applicant is eligible and whether an application is complete. If an applicant is determined to be ineligible as an official applicant, the applicant will be rejected without evaluation (see “Institutional Eligibility”), and notified by IMLS. Applicants are encouraged to call IMLS Senior Program Officer Christine Henry prior to submission of their proposals to discuss their application.

All eligible and complete applications for *Statewide Planning Grants* will be evaluated by a peer review panel. Panelists will have professional experience in or relating to conservation/preservation; collections care and management; general museum or library operations; or statewide collaborative projects. The IMLS Director will make the final funding decisions on the basis of the peer evaluations, the appropriateness of the projects to the goals of the *Connecting to Collections: A Call to Action* initiative, and the overall goals of IMLS.

**PREPARING AND SUBMITTING
AN APPLICATION**

GRANTS.GOV INFORMATION AND INSTRUCTIONS

Organizations that are applying under the October 16, 2007, deadline for the *Statewide Planning Grants* program must submit their applications through Grants.gov, the federal government's online application system. The Grants.gov system will accept applications through 11:59 P.M. eastern time on October 16th.

While the deadline is October 16, 2007, IMLS recommends strongly that applicants REGISTER EARLY and COMPLETE AND SUBMIT THEIR APPLICATION EARLY. All applicants who are using Grants.gov must register with Grants.gov before submitting their application. The multistep registration process generally cannot be completed in a single day. Applicants who are not already registered should allow at least two weeks to complete this one-time process. **DO NOT WAIT UNTIL THE WEEK OF THE APPLICATION DEADLINE TO REGISTER.**

Find Grant Opportunities

www.grants.gov/applicants/find_grant_opportunities.jsp

- **Search opportunities**
 - Basic search
 - Browse by category
 - Browse by agency
 - Advanced search

- **Email subscription**
 - All grants
 - Advanced criteria
 - Specific Funding Opportunity Number (FON)
 - Unsubscribe

Get Registered

www.grants.gov/applicants/get_registered.jsp

- **Step 1: Register your organization**
 - Request a DUNS number
 - Register with CCR
 - Organization registration checklist

- **Step 2: Register yourself as an Authorized Organization Representative (AOR)**

- **Step 3: Get authorized as an AOR by your organization**

Apply for Grants

www.grants.gov/applicants/apply_for_grants.jsp

Step 1: Download a grant application package

**Use one of the following identifiers to locate the
Connecting to Collections: Statewide Planning Grants package:
CFDA No: 45.312
Funding Opportunity Number: CTC-FY08**

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

1. *Download Application Instructions:* This package contains the grant application guidelines (which include instructions for completing the application) and the IMLS forms for budget, program information, and any others related to this specific program.
2. *Download Application Package:* This package has the face sheet (SF-424s, "Application for Federal Domestic Assistance/Short Organizational Form"), Abstract, and the Attachments form.

Step 2: Complete the grant application package

Step 3: Submit the completed grant application package

Important deadline information: Applications must be received by 11:59 p.m. on October 16, 2007, in the Grants.gov system. Within 48 hours of submitting a grant application, applicants will receive two email messages from Grants.gov:

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

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

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

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

Grants.gov Help

For direct assistance with Grants.gov, contact the Grants.gov Help Desk via e-mail at support@grants.gov, or call them at 1-800-518-4726 from 7:00 A.M. to 9:00 P.M. Eastern time, Monday through Friday.

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

Help is also available on the Grants.gov Website: www.grants.gov/help/help.jsp

- User manual for applicants: www.grants.gov/assets/GDG_AppUserGuide_0207.pdf
- Frequently asked questions (FAQs): www.grants.gov/help/faq.jsp
 - General FAQs
 - Applicant FAQs
 - Submit application FAQs
 - Adobe Reader and PureEdge Viewer FAQs
- How to convert documents to PDF: www.ims.gov/pdf/PDFConversion.pdf
- Download PureEdge and Adobe software: Step 3 in www.grants.gov/applicants/apply_for_grants.jsp
- Glossary: www.grants.gov/help/glossary.jsp
- DUNS Help: <http://fedgov.dnb.com/webform>
- DUNS FAQs: <http://fedgov.dnb.com/webform/displayFAQPage.do>
- CR help:
 - Central Contractor Registration Handbook: www.ccr.gov/doc/CCR_Handbook.pdf
 - CCR FAQs: www.ccr.gov/FAQ.aspx

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

APPLICATION COMPONENTS

An application requesting funding from the *Statewide Planning Grants* program should include the following materials:

1. Face sheet: the Application for Federal Domestic Assistance/Short Organizational Form (SF-424S) on Grants.gov.
2. Abstract (Grants.gov form)
3. Program Information Sheet
4. Narrative (not to exceed 5 pages)
5. Detailed Budget: a three-page form available as a fill-in PDF form in the Grants.gov Zip file or on the IMLS website, replicated for each year of the project.
6. Summary Budget
7. Budget justification: an explanation of up to two pages to describe expenses as listed in the budget forms.
8. Partnership Statement form: a one-page form available as a fill-in PDF form in the Grants.gov Zip file or on the IMLS Web site, replicated for each institutional partner.
9. Appendices:
 - a. Organizational profile for each partner entity
 - b. Planning documents, such as needs assessments (optional)
 - c. Work plan or schedule of completion
 - d. List of key project staff and consultants
 - e. Brief, maximum of two pages, résumés for key project personnel

Naming the files and their sequence

The IMLS forms, text documents and other documents that are part of the application must each be saved as a PDF that is named according to the list below. **Note:** IMLS will not convert files for applicants and will not accept file formats other than PDF.

Append all of the documents to the Attachments Form in the prescribed sequence. If you have more attachments than will fit on one Attachments Form, please use the Optional Attachments Form for the remaining ones, following the same naming convention.

The Face Sheet (SF 424S) and the Abstract are Grants.gov forms that will automatically be saved as PDFs. The table below is for all of the other application components that are appended to the Attachment form.

Document	File name to use	Attach in this order
Program Information Sheet	1.Programinfo.pdf	1
Narrative	2.Narrative.pdf	2
Detailed budget form [by year, as appropriate]	3.Detailedbudget year 1.pdf 3.Detailedbudget year 2.pdf 3.Detailedbudget year 3.pdf	3a 3b 3c
Summary budget form	4.Summarybudget.pdf	4
Budget justification	5.Budgetjustification.pdf	5
Partnership Statement form (one for each partner entity)	6. Partnershipstatement.pdf	6a 6b Etc.
Appendices:		
Organizational profile for each partner entity [numbered, as appropriate]	7. Organizationalprofile 1.pdf	7a 7b Etc.
Planning Documents [numbered, as appropriate]	8. Supportingdocument 1.pdf 8. Supportingdocument 2.pdf 8. Supportingdocument 3.pdf Etc.	8a 8b 8c Etc.
Work Plan or Schedule of completion	9.Scheduleofcompletion.pdf	9
Project staff and resumes	10.Projectstaff.pdf	110

SF-424s

The IMLS Face Sheet is the equivalent of the “Application for Federal Domestic Assistance/Short Organizational Form (SF-424S)” on Grants.gov.

Items 1 – 4 are automatically filled in by Grants.gov.

5. Applicant Information

a. Legal Name: Enter the legal name of the organization that is making the application. Please see page 4 (Institutional Eligibility) for eligibility details. If the eligible entity does not have the authority to apply directly to IMLS for funding, enter the name of the parent organization that is submitting the application on behalf of the eligible entity. Enter the name of the eligible entity in the space provided for “Organizational Unit” on the Program Information Sheet, Question 1b.

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

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

d. Type of Applicant: Select the one code that best characterizes the applicant organization from the menu in the first dropdown box. Leave the other boxes blank. The following types of applicants are not eligible to receive *Statewide Planning Grants*.

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

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

f. Organizational DUNS: All organizational applicants for federal funds must have a DUNS number. If applying through Grants.gov, ensure that the number entered here agrees with the number (either 9 or 13 digits) that was used with the CCR (Central Contractor Registry) as part of the Grants.gov registration.

g. Congressional District: Enter the number of the congressional district in which the applicant organization is located. Use the following format: two-letter state abbreviation, followed by a hyphen, followed by the three-digit district number. For example, if the organization is located in the 5th Congressional District of California, enter “CA-005.” For the 12th district of North Carolina, enter “NC-012.”

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

6. Project Information

a. Project Title: Provide a brief descriptive title.

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

c. Proposed Project Start Date/End Date: Enter the beginning and ending dates for the requested period of support, that is, the span of time necessary to plan, execute, and close out the proposed project. *Statewide Planning Grants* projects must begin between March 1, 2008, and May 1, 2008. Start dates must be the first day of a month and end dates must be the last day of a month.

7. Project Director

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

8. Primary Contact/Grants Administrator

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

9. Authorized Representative

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

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

Program Information Sheet

1. Applicant Information

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

b. and c. Organizational Unit and Address:

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

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

e. Type of Institution: Select the one that most accurately describes the applicant.

2. Grant Program or Grant Program Category

Select the category *Connecting to Collections: Statewide Planning Grants*.

3. Request Information

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

b. Cost Share Amount: Enter the amount here. Applicants are not required to provide cost sharing.

4. Museum Profile (Museum Applicants only)

Museum applicants must answer all questions in this section.

5–8.

Applicants for *Statewide Planning Grants* should skip these sections.

Narrative

Limit the narrative to five single-sided, single-spaced, numbered pages. All pages should have at least 0.5 inch margins on all sides, and the font size should be no smaller than twelve point. Use the appendices to provide supplementary material.

Statewide Planning Grants will support projects that bring multiple collections-holding organizations together to address conservation needs in a collaborative manner. Successful proposals will include discussion of any previous statewide planning efforts, previous needs assessments, and results of past or nascent planning efforts at the state level.

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

1. Need and Rationale

Applicants should summarize the broad conservation needs within their state, commonwealth, or territory and provide a brief explanation of how these needs were determined. If your state has not conducted such needs assessments, the planning project may include such efforts. List those recommendations of the Heritage Health Index (HHI) that are germane for your state and explain why. What conditions in your state must be taken into account in statewide conservation planning?

2. The Planning Process

Describe the scope of the planning process, who will be included as partners, the expected results, and any prioritization of efforts for the future. Outline any preliminary data-gathering efforts in your state, or describe any such efforts that may take place during or before the planning period. Describe institutional responsibilities for the project's implementation. Explain how information will be shared and decisions made. Describe any products that you anticipate as a result of the planning process.

3. Project Resources: Budget and Personnel

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

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

- the degree to which the applicant has provided a clear assessment of the needs within a particular state, commonwealth, or territory, or has articulated the strategy for conducting such needs assessment(s).
- the degree to which the project will help the state create a workable, concrete plan to address one or more of the recommendations of the HHI
- the readiness of the applicant to undertake the planning process
- evidence that the process reflects strong collaboration involving appropriate representatives of libraries, museums, archives, and statewide organizations
- the degree to which the budget and personnel are sufficient to accomplish the specified planning tasks; and
- evidence that the planning efforts will have long-term results and benefits beyond the grant period.

Budget

The application requires three elements to describe the costs of a proposed project. The Detailed Budget for each year of the project and the Summary Budget that describes costs for the entire project are both available as fill-in PDF forms in the Grants.gov Zip file or on the IMLS Web site. The third element is the Budget Justification.

Applicants for funding from the *Statewide Planning Grants* program are encouraged but not required to provide cost sharing of the total project cost.

Detailed Budget

Applicants need to fill out a copy of the Detailed Budget Form for each year of the project. The first copy of the Budget Form should begin on the project start date and end 12 months later. Applicants using the PDF can fill out the form for one year, save it, then fill it out again for the remaining years. Applicants will notice that the columns total automatically.

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by the applicant or third-party in-kind contributions (cost sharing). In-kind contributions include the value of services or equipment that is donated to the project free of charge. Remember to include costs for evaluation, which, like many costs, may fall under any or all of these categories. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonably necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization. When indirect costs are charged to the project, care should be taken to ensure that expenses included in the organization's indirect cost pool (see "Indirect Costs" below) are not charged to the project as direct costs.

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

1. **Salaries and Wages:** Indicate both temporary and permanent staff by noting "temp" or "perm" in parentheses after each staff member listed.
2. **Fringe Benefits:** Fringe benefits may include contributions for Social Security, employee insurance, pension plans, and so on. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs.
3. **Consultant Fees:** List any consultants hired for this project. Identify the costs for each consultant's services by the daily fees charged.
4. **Travel:** The lowest available commercial fares for coach or equivalent accommodations must be used, and foreign travel must be undertaken on U.S. flag carriers when such services are available.
5. **Supplies and Materials:** In general, list the costs of material purchased specifically for the proposed project. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

6. **Services:** List the costs of project activities to be undertaken by a third-party contractor, including a partner, under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. Attach a complete itemization of these costs to the IMLS Budget Form. If there is more than one contractor, list the cost of each contract separately on the IMLS Budget Form and include an attached itemization.
7. **Student Support:** Ignore this section. It does not apply to the *Statewide Planning Grants* program.
8. **Other Costs:** Please do not use the “Other Costs” section to list items that did not fit in the number of lines allotted for another section. If more lines are needed, the information should be summarized in the Detailed Budget Form and further explained in the Budget Justification.
9. **Total Direct Costs:** Add up the subtotal amounts from the previous sections.
10. **Indirect Costs:** Indirect costs are project costs that an organization incurs that cannot be easily assigned to an individual project. They are also called “overhead” or “administrative costs.” Examples of indirect cost type items are charges for utilities, insurance, use of office space and equipment owned by the applicant, local telephone service, and the salaries of the management and administrative personnel of the organization.
11. **Total Project Costs:** Complete the first line; ignore the second line, which is specific to another IMLS grant program.

Organizations that do not have a federally negotiated indirect cost rate and do not wish to negotiate one may charge an administrative fee to the project of up to 15 percent. IMLS will pay this administrative fee only on that portion of direct project costs that are supported by IMLS funds. This fee may also be applied to the direct project costs that will be supported by the applicant and may therefore be counted as part of the applicant’s cost sharing. If an applicant chooses this option, it must be careful to exclude all indirect-cost type items from the budget and the fee may not be applied to more than the first \$5,000 of distorting costs such as equipment purchases or subcontracts.

If an organization has a federally negotiated indirect cost rate that will be current on the date of award, as cited on the award notification, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy of the negotiation is forwarded to IMLS with the application.

However, IMLS will pay indirect costs only on the portion of the direct costs that are supported by IMLS funds. Indirect costs that are related to the direct project costs that will be supported by the applicant may be included in the budget only as a part of the applicant’s cost sharing. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued. Institutions must use a federally negotiated indirect cost rate appropriate to the type of project proposed. For example, a rate for research may be used only for research projects.

An organization that is in the process of negotiating an indirect cost rate with a federal agency may apply the proposed rate of estimate total project costs as long as it follows the instructions

in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. It is possible that the amount of the award will be reduced if the final negotiated rate is less than the rate that was used in the application budget. However, the amount of the award will not be increased if the negotiated indirect cost rate is higher than the rate proposed in the application. Once an indirect cost rate is accepted by IMLS, the rate shall be considered fixed for the duration of the award even if, during the course of the award, the grantee negotiates a new indirect cost rate.

If a grantee has one or more predetermined rates negotiated at the time of the award, e.g., 30 percent the first year and 32 percent the second year, these rates may be used in the project budget. However, in the example given above, if the grant period ran more than two years, the last predetermined rate would apply not only to the second year of the grant but also to any subsequent years.

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

These instructions also apply to an organization that will function as a partner in undertaking grant activities.

Summary Budget

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

Budget Justification

The Budget Justification is a text document that explains all elements of the Detailed Budget and the "Other cost" listed for the education component, if requested. For example, the Budget Justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses. The application should provide specifications for all hardware and software for which IMLS funding is requested.

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

Explanation of Budget Surplus or Deficit

If an applicant indicates a budget surplus or deficit for the two previous fiscal years on the Program Information Sheet, they must include a one-page explanation.

Partnership Statement

Complete a Partnership Statement for each formal partner involved in the proposed project.

Applicants should save each Partnership Statement with a distinct file name that includes the word “*Partner*” and a short form of the partner’s name—e.g., Partner Cornell or Partner NOMA. Then add each document to the Attachments form, following the sequence in the Application Checklist.

At the top of the Partnership Statement, enter the legal name of the applicant organization. This information should match that provided on the SF-424s and the Program Information Form.

1–5

Provide all of the information requested for the partner organization. If the partner organization does not have a DUNS number, refer the partner to page 11 within these guidelines for information and instructions on how to secure one. To obtain a full Zip+4 postal code, visit www.usps.com/zip4.

6. Governing Control of Partner

Check one box to indicate the partner’s governing control.

7–9

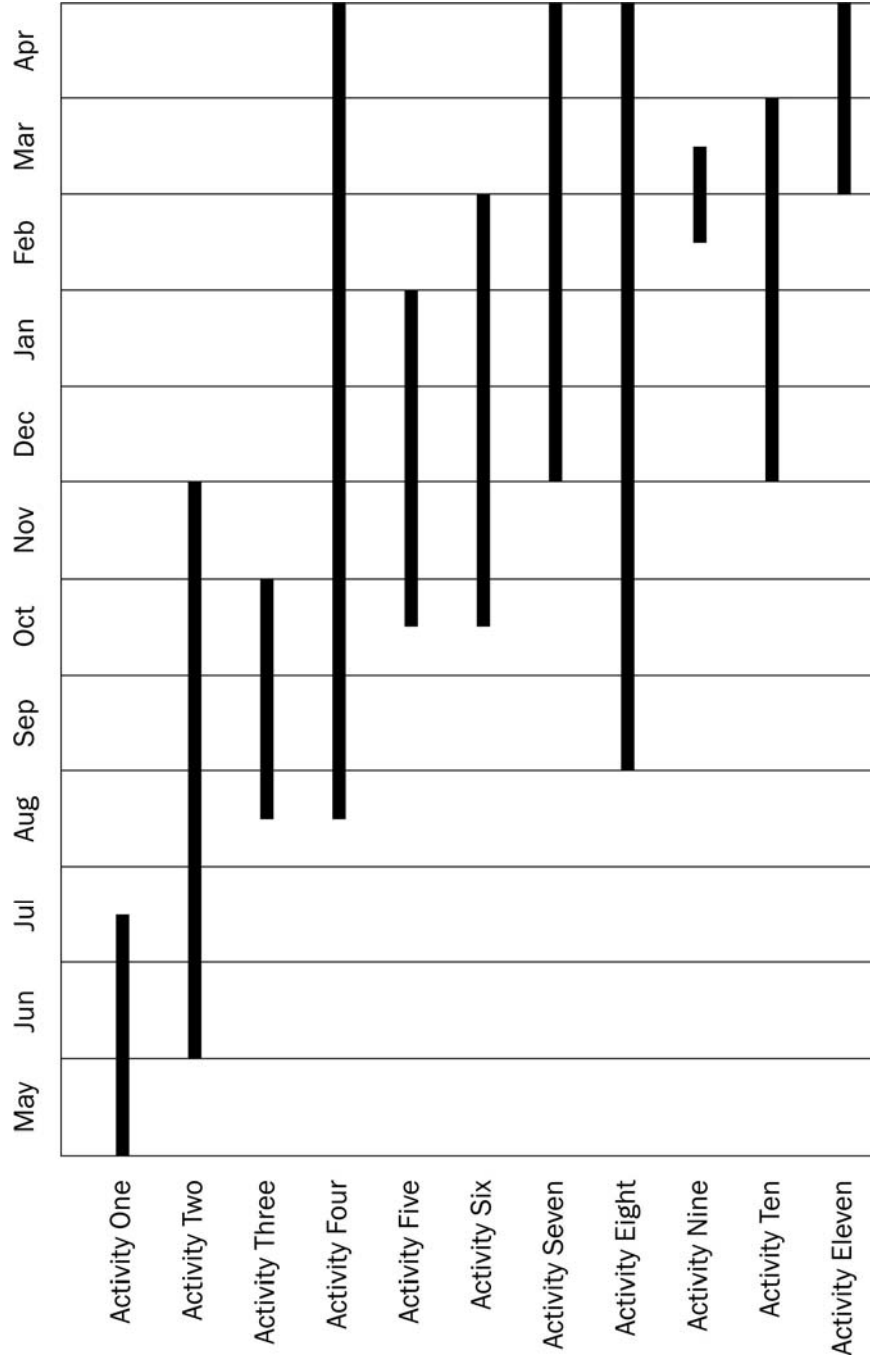
Provide the information requested for each of these items. The limits on the amount of text allowed are given in the item statement on the form.

The applicant must ensure that each partner also provides a signed original version of the Partnership Statement to the applicant, and that the applicant will make this form available to IMLS if requested by IMLS.

Schedule of Completion

The applicant must provide a Schedule of Completion that shows when each major project task will be undertaken, marks the milestones for each grant activity, and designates how grant funds are to be spent throughout the project. The Schedule of Completion must also correspond to the activities described in the narrative and the project dates on the Face Sheet and Budget pages. One way to plot this information is in a graph or chart that lists project activities and the corresponding months when these activities will take place during the project. This document may be created as a narrative or spreadsheet, and should be no longer than one page per year.

See sample schedule below. Applicants may prepare theirs in a similar manner, but this format is not required. Whatever format is selected, be sure to list each major project activity addressed in the application narrative and the date each activity begins and ends. It is critical that the dates on the Schedule of Completion correspond to the project dates on the Application for Federal Domestic Assistance/Short Organizational Form (SF-424s; also known as the Face Sheet). If the proposed activity is part of a larger project, make sure the IMLS-funded portion is clearly identified.



Organizational profile

Provide an organizational profile of no more than one page. Include the following information: (1) the organization's mission and (2) the organization's service area (audience served, including size, demographic characteristics, and geographic area). This information will give the reviewers an understanding of the applicant organization.

Project Staff and Resumes

1. Provide a list of the key project staff and the consultants who will be directly involved in the program.
2. Add resumes or curriculum vitae of no more than two pages each for all key personnel (both staff and consultants). Resumes that exceed the two page limit will have the remaining pages removed by IMLS staff. Add a page break at the end of the list of personnel, and then add page breaks at the end of each of the resumes/vitae.

Note: If the key project personnel have not been selected by the application deadline date, then submit position descriptions instead of resumes.

**IMLS ASSURANCES
AND CERTIFICATION**

IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, nondiscrimination, and a drug-free workplace. Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. The authorized representative must review the statement and provide the certification in item 9 on the Application for Federal Domestic Assistance/Short Organizational Form (SF-424s).

Assurances Statement

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

Certifications Required of All Applicants

Financial, Administrative, and Legal Accountability

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

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

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

Federal Debt Status

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

Suspension, Debarment, and Other Responsibility Matters

1. The authorized representative, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:

- (a) are not presently excluded or disqualified;
- (b) have not been convicted within the preceding three years of any of the offenses listed in 45 C.F.R. 1185.800(a) or had a civil judgment rendered against the applicant or its principals for one of those offenses within that time period;
- (c) are not 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 45 C.F.R. 1185.800(a); and
- (d) have not had one or more public transactions (federal, state, or local) terminated within the preceding three years for cause or default.

2. The authorized representative, on behalf of the applicant, further certifies that the applicant and its principals will comply with 45 C.F.R. Part 1185 Subpart C (Responsibilities of Participants Regarding Transactions) and will require similar compliance with Subpart C by persons at the next lower tier with whom the primary tier participant enters into covered transactions.

Nondiscrimination

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

- (a) 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;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–83, 1685–86), which prohibits discrimination on the basis of sex in education programs; and
- (d) Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

Drug-Free Workplace

The authorized representative, on behalf of the applicant, certifies, as a condition of the award, that the applicant will or will continue to provide a drug-free workplace by complying with the requirements in Subpart B of 45 C.F.R. Part 1186.

This includes: 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 its employees; taking actions concerning employees who are convicted of violating drug statutes in the workplace; and identifying (either with this application or upon award, or in documents kept on file in the applicant's office) all known workplaces under the award.

General Certification

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

Certifications Required of Some Applicants

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

Subcontracts

A grantee may not make a subgrant (for more details, see 45 C.F.R. Chapter XI, Subchapter E [Institute of Museum and Library Services]). Applicants who plan to use awards to fund contracts and subcontracts should be aware that they must receive the following certifications from those who bid on contracts:

1. Certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
2. Certification regarding debarment and suspension from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for contracts that are expected to equal or exceed \$100,000:
 - (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency
 - (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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



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Museum and Library
SERVICES

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