



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

Museum Grants for African American History and Culture

Draft Application Guidelines

Deadline: July 15, 2006

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GUIDELINES

Part One: General Information

The Opportunity: Museum Grants for African American History and Culture

Museum Grants for African American History and Culture are intended to build professional capacity in the African American museum community. The program will assist staff at grantee museums to gain skills and knowledge in the areas of management, operations, programming, collections care and other museum skills identified as a high priority by applicants. It will provide an opportunity for grantee museums to design projects that meet their professional development needs by utilizing training, technical assistance, internships, outside expertise and other tools.

For FY2006, the program will focus on the following three goals:

- Developing and/or strengthening knowledge, skills and other expertise of current staff at African American museums.
- Attracting and retaining professionals with the skills needed to strengthen African American museums.
- Attracting new staff to African American museum practice and providing them with the expertise needed to sustain them in the museum field.

Funds will support a wide range of activities, including:

- staff exchange, education or training, or other strategies that increase needed skills;
- attendance at professional museum meetings and conventions;
- internships to introduce emerging museum professionals or potential professionals to hands-on museum activities; and
- technical assistance or consultation with museum and/or business professionals from outside the institution.

IMLS encourages projects for the full range of funding; we expect that awards will be made at all levels, from \$5,000 to \$150,000.

Eligibility

WHO MAY APPLY

An applicant must be:

- a museum whose primary purpose, as reflected in its mission, is African-American life, art, history, and culture;
- a unit of state or local government, or a private not-for-profit organization that has tax-exempt status under the Internal Revenue Code;
- is located in one of the fifty states of the United States of America, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
- a museum that, using a professional staff (1) is organized on a permanent basis for essentially educational or aesthetic purposes; (2) owns or uses tangible objects, either animate or inanimate; (3) cares for these objects; and (4) exhibits these objects to the general public on a regular basis through facilities which it owns or operates.

MUSEUMS WITHIN MULTIPURPOSE ORGANIZATIONS

Please note that a museum located within a parent organization that is a state or local government or multipurpose not-for-profit entity, such as a municipality, university, historical society, foundation, or a cultural center; may apply on its own behalf if the museum: (1) is able to independently fulfill all the eligibility requirements listed above; (2) functions as a discrete unit within the parent organization; (3) has its own fully segregated and itemized operating budget; and (4) has the authority to make the application on its own. When any of the last three conditions cannot be met, a museum may apply through its parent organization, and the parent organization may submit a single application for one or more of its museums.

1. Museums include, but are not limited to, aquariums, arboretums, art museums, botanical gardens, children youth museums, general museums (those having two or more significant disciplines), historic houses/sites, history museums, natural history/anthropology museums, nature centers, planetariums, science/technology centers, specialized museums (limited to a single distinct subject), and zoological parks.
2. An institution uses a professional staff if it employs at least one professional staff member, or the fulltime equivalent, whether paid or unpaid, who is primarily engaged in the acquisition, care, or exhibition to the public of objects owned or used by the institution.
3. An institution exhibits objects to the general public if such exhibition is a primary purpose of the institution. Further, an institution which exhibits objects to the general public for at least 120 days a year shall be deemed to exhibit objects to the general public on a regular basis.

An institution that exhibits objects by appointment may meet the requirement to exhibit objects to the general public on a regular basis, if it can establish, in light of the facts under all the relevant circumstances, that this method of exhibition does not unreasonably restrict the accessibility of the institution's exhibits to the general public.

An institution that does not have as a primary purpose the exhibition of objects to the general public, but which can demonstrate that it exhibits objects to the general public on a regular basis as a significant, separate, distinct, and continuing portion of its activities, and that it otherwise meets the museum eligibility requirements, may be determined to be eligible as a museum under these guidelines. For more information, please see 45 C.F.R. Part 1180.3(d)(2).

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GUIDELINES

Data Universal Numbering System (DUNS)/ Taxpayer Identification Number (TIN)

D U N S

To improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget has directed all federal agencies to require all applicants for federal grants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (E-Grants).

Organizations should verify that they have a DUNS number or take the steps needed 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 <http://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.

T I N

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 a DUNS and a TIN number, the application will be rejected.

Conditions of a Grant

DURATION OF A GRANT

Generally, project activities supported by grants may be carried out for a period of up to two years.

PROJECT START DATE

Projects may begin no earlier than November 1, 2006 and no later than January 1, 2007. Projects must begin on the first day of the month and end on the last day of the month.

AMOUNT OF GRANT

Museum Grants for African American History and Culture range from \$5,000 to \$150,000. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than requested.

COST SHARING

Project cost must be matched 1:1 through the cost share by the applicant. Applicants must provide at least one-half of the total cost of the project from non-federal sources. These costs may be supported by the grantee's cash outlays including cash contributions from third parties that are used to support project costs, the value of the grantee's contributions of property and services to the project, and third-party in-kind contributions that are used to support project activities. IMLS encourages applicants to contribute as cost sharing the salaries of any 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 how their regular duties will be performed during the grant period. IMLS strongly encourages applicants to seek third-party donations of cash, equipment, and services. If any funds are to be contributed as cost share by sources other than the applicant or its official partners, the applicant must identify whether the commitment of funds is assured or pending. If the funds are assured, the applicant should include a letter from the source affirming its commitment. If the funds are not assured, the applicant should describe the plan for meeting the promised cost share from other sources in the event that the pending funds are not received. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing or as specified in applicable OMB circulars. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide uniform administrative rules and requirements apply, including appropriate OMB circulars.

USE OF FUNDS

IMLS grant funds may be used only for costs directly related to the project such as costs for salaries for museum personnel, project supplies and materials, membership fees,

telecommunication services and equipment, and other fees or expenses associated with the project.

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, collection acquisition or pre-grant costs.

Projects should be investments in the organization that will have long-term institutional impact, not one-time activities. Any revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing or as specified in applicable OMB circulars. All listed expenses must be incurred during the grant period. Government-wide uniform administration rules and requirements apply, including appropriate OMB circulars.

For a list of allowable and unallowable costs, please see pages XX-XX.

COPYRIGHT/WORK PRODUCTS

IMLS requires acknowledgment of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval from IMLS for another arrangement. With written permission, the recipient may copyright any work that is subject to copyright and was developed under an award or for which ownership was purchased. IMLS reserves, for federal government purposes, a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that grantees provide three copies of any products produced with IMLS funds to IMLS with final reports.

ANNOUNCEMENT OF AWARD

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in mid-September 2006.

PAYMENT, ACCOUNTING, MANAGEMENT, AND REPORT PROCEDURES

A federal accounting office handles the payment for Museum Grants for African American History and Culture recipients, and grantees may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. Grantees do not need to maintain a separate bank account for IMLS grant funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements. In addition,

government-wide uniform grant administrative rules and requirements apply, including appropriate OMB circulars.

Grant recipients are required to submit semi-annual 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.

Application Review and Evaluation

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

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

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

Part Two: Project and Application Requirements

Eligible Grant Activities and Costs

The Museum Grants for African American History and Culture Program is designed to help build professional capacity in the African American museum community (see “The Opportunity”, p.xx). Applicants should define how the project activities relate to their institutional goals for building professional capacity.

Types of grant activities funded may include but are not limited to:

- Enrollment in courses or workshops, on site or through distance learning;
- Attendance at conferences or other professional meetings;
- Hiring of consultants or technical assistance to strengthen museum staff skills activities;
- Organizational support for internships and fellowships (awards are not made to individuals), including support for development and implementation of internship and fellowship programs.

All grantees will be required to provide staff attendance at one or more professional museum conferences as part of their project, and can fund this attendance with grant funds. Conferences can include state, regional or national (AASLH, AAAM, AAM, etc) meetings.

Grant activities are expected to have quantifiable and measurable outcomes, and grantees will be expected to evaluate the success of the project against the established outcomes in the original grant application. IMLS will provide technical support to grantees as they develop their evaluation plans and implement those plans. Information about outcome-based evaluation can be found on the IMLS Website (<http://www.imls.gov/applicants/obe.shtm>) or may be requested from IMLS.

Eligible expenses include but are not limited to:

- staffing;
- purchase of equipment, materials, supplies or services;
- staff training;
- internship stipends and support activities;
- integration of technology into museum operations;
- publication;
- costs associated with evaluation of grant programs or activities;
- indirect or overhead costs (see p xxx).

Non-Eligible Activities and Costs

Non-Eligible expenses include but are not limited to:

- contributions to endowment funds;
- acquisition of objects for the collection;
- costs of social activities, ceremonies, and other entertainment;
- pre-award costs (costs incurred prior to the effective date of the grant);
- construction and renovation of museum facilities. Any activity involving contract labor in the construction trades is not an allowable cost. Exhibits fabrication can be an allowable cost. If you have a question about the eligibility of the scope of your exhibition activities, please call IMLS staff immediately.
- collection conservation activities including the purchase of storage equipment such as shelving, installation of collections, HVAC systems, creation of collections storage facilities, object treatment, collections surveys, or historic structure renovation (for these activities, please see IMLS Conservation Project Support Guidelines for possible eligibility).
- exhibit fabrication that includes creation of large scale permanent structure for animals or objects that would involve contract labor of the construction trades. If you have a question about the eligibility of the scope of your exhibition activities, please call IMLS staff immediately.
- general museum fundraising costs, such as development office expenditures or other staff time devoted to general fundraising.

Applicable government-wide cost principles are listed in 45 C.F.R. Section 1180.10(a) (IMLS regulations), available upon request.

Cost Share

IMLS will provide up to one-half the cost of the project. Your cost share may consist of:

- cash contributions;
- earned income;
- equipment;
- in-kind contributions;
- materials and supplies.

You may not use federal funds as your cost share. In-kind contributions such as staff time, donated services, supplies, and space may be used as cost share if you can document that donations relate specifically to your African American History and Culture grant project.

Part Three: Completing the Application Narrative

Application Narrative Questions and Evaluation Criteria

IMLS reviewers base their evaluations only on the information presented in the application. This makes it very important for applicants to prepare a clear, concise, well organized document. Applicants must address each question separately, and in the same order in which they are listed below.

1. Statement of Need

Include a statement of need as it relates to the museum, its audience, and/or the African American museum community. Include information such as:

- current status of the museum;
- how the proposed project will improve museum staff abilities and museum services;
- if applicable, how the project will improve the overall African American museum community.

Evaluation Criteria: Evidence the applicant has performed a formal or informal assessment of museum and/or community needs, and has developed the project and its goals as the best solution to those needs.

2. Project Design

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

- project goals and objectives;
- specific skills, knowledge, and experiences that will build staff or institutional capacities;
- changes in behaviors the project is designed to provide to museum staff;
- action steps and activities to implement the project;
- expected results of project.

Evaluation Criteria: Evidence that the project proposes efficient, effective and reasonable approaches to accomplish clear goals and objectives. Evidence that the methodology and design are appropriate to the scope of the project. Evidence that the project will meet IMLS program goals.

3. Project Resources: Time, Personnel, Budget

Describe project resources, both those funded by the grant and those funded by the institutional cost share. Include information such as:

- time allocation to complete project;

- personnel involved in project, their qualifications, commitment to project activities, and how they will balance project responsibilities with other ongoing duties;
- budget allocated to accomplish project activities, including both the applicant's contributions and how the applicant will meet the match.

Evaluation Criteria: Evidence that the applicant will effectively complete the project activities through the deployment and management of resources including money, facilities, equipment and supplies. Evidence of sound financial management, coupled with an appropriate and cost efficient budget. Evidence that the applicant has the ability to meet the cost share requirement. Evidence that the project personnel demonstrate appropriate experience and expertise and will commit adequate time to accomplish project goals and activities. Reviewer evaluation for this section of the application will include the Narrative, Budget Forms, Budget Justification, and Resumes.

4. Impact

Describe how the project will impact the institution. Include information such as:

- specific outcomes that will result from the project;
- how the project's accomplishments, benefits, and changes will continue beyond the grant period.

Evaluation Criteria: Evidence that the project will create specific changes and benefits for the applicant, and/or the community served. Evidence that the applicant has plans to sustain those changes and benefits beyond the grant period.

Part Four: Preparing the Application Package

Preparing Your Application

An application requesting funding through Museum Grants for African American History and Culture should include the following materials organized in the order listed. Following this list is a description and reference pages for each piece of the application.

1. Face Sheet
2. Museum Grants for African American History and Culture Information Form
3. Statement of Purpose/Mission Statement (not to exceed one page)
4. Institutional Financial Statements (for past two fiscal years; no full audits please)
5. Narrative (not to exceed five pages) with each evaluation criteria numbered and labeled
6. Schedule of Completion
7. Project Budget (Summary, Detailed, and Budget Justification)
8. Current, federally negotiated rate for indirect costs, if applicable
9. Proof of Non-profit Status, if applicable
10. List of key project staff and consultants
11. Resume(s) for key project personnel (not to exceed two pages per person)
12. Attachments (see page 3.10 for more information, not to exceed 20 pages)
13. Grants Processing Information Sheet (included on page 6)
14. Signature of Authorized Representative/Authorizing Official on Face Sheet and Assurances/Certifications (included on page 6.4)

ELECTRONIC FILL-IN APPLICATION FORMS

IMLS now makes all application forms available on our Web site in PDF (Portable Document Format) for download. Applicants can download the electronic version of an IMLS application form using freely available software, and type into the forms on any computer. This eliminates the need for a typewriter or for re-creation of IMLS application forms. Note that the forms cannot be submitted electronically, but may be completed online and then printed on the applicant's printer and shipped. Caution: the forms cannot be saved, so they must be completely filled in and printed in one operation. To access the fill-in application forms, visit <http://www.imls.gov>. Alternatively, applicants may recreate the forms electronically following the IMLS format or may type on printed forms.

FACE SHEET

The Face Sheet and Museum Grants for African American History and Culture Information Form are provided as pages x.x to x.x in the Application Forms section of this document. Use or replicate this form. These pages are available as a fill-in form on the IMLS Web site. Visit www.imls.gov.

FACE SHEET INSTRUCTIONS

1) Applicant Organization

Enter the legal name of the organization that is submitting the application and its mailing address, Web address, DUNS and TIN numbers. Please make sure to include the zip + 4 and the Congressional District in this address. To find your zip + 4 code, please go to <http://zip4.usps.com/zip4/welcome.jsp>. To find your Congressional District please go to <http://www.house.gov> and enter the address, including the zip + 4. If a museum or other 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 museum or other eligible entity in the space provided on the African American History and Culture Information Form, p. XX number 1, for the organizational unit.

2) Project Information

Enter the project title, a brief description, and the grant period start and end dates.

3) Project Director

Enter the name, address, and contact information of the person (Project Director) who will be responsible for carrying out the project and who will serve as the primary contact with IMLS regarding the progress achieved under the grant.

4) Primary Contacts/Grants Administrator

If the Project Director performs all the grant administration tasks as well, check the “Same as Project Director” box and go to the next item. If your institution has someone separate from the Project Director who manages the grant administration tasks, fill in the information of that person (Grants Administrator).

5) Type of Applicant

Select one code that most accurately describes your institution.

6) Authorized Official/Authorizing Representative

Enter the name, address, and contact information of the person (Authorized Representative/Authorizing Official) who has the authority to apply for federal support of the institution’s activities and enter into legal agreements in the name of the institution. (In those rare instances when a person who would normally serve as the Authorized Representative/Authorizing Official is the Project Director, the name, title, address, etc. of the person to whom the Project Director reports—e.g., the Board Chair—should be entered here and that person should sign the application.) All written correspondence will be sent to the Authorized Official/Authorizing Representative.

AFRICAN AMERICAN HISTORY AND CULTURE INFORMATION SHEET INSTRUCTIONS

The Museum Grants for African American History and Culture form is provided on pages XX to XX in the application forms section of this document. These pages are available as a fill-in form on the IMLS website.

1) Legal Name/Organizational Unit

Enter the legal name of the applicant. If the museum is not able to apply for grants on its own behalf, then enter the name and address of the museum in the Organizational Unit. 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.

2) Type of Museum

Enter the most appropriate discipline of the applicant organization.

3) Attendance

Enter the museum's attendance for the 12-month period prior to application.

4) Hours Open

Enter the number of hours the museum was open to the public for the 12-month period prior to application.

5) Date First Opened

Enter the year the museum was first open and exhibiting to the general public.

6-9) Staff

Enter the number of full-time and part-time paid or unpaid museum staff.

10) Operating Income

Enter the museum's two most recent amounts of non-Federal operating income and corresponding years. If the institution has a budget surplus or deficit, a one page explanation must be attached for each.

11-12) Grant Request/Cost Share

Enter the museum's grant amount request and cost share.

13) Summary of Project Activities

Enter a description of all project activities.

APPLICATION CHECKLIST

The Checklist is provided on page XX in the Application Forms section of this document. Use the Checklist to help you arrange the sections of the application in the correct order.

STATEMENT OF PURPOSE/MISSION STATEMENT AND HISTORY

The Statement of Purpose/Mission Statement and History page includes a mission statement and brief background history for the reviewers that:

- Must note the source, approving body, and date of the official document where it appears
- May be quoted from or summarized to convey the essential points of the statement, if the statement is too long to be quoted in full.
- Must accurately portray your museum's purpose or mission.
- Uses the remaining space available on the page to include a brief history of the museum.
- Must not exceed a maximum length of one page 8-1/2 by 11 inch single spaced.

INSTITUTIONAL FINANCIAL STATEMENTS

Institutional Financial Statements are a snapshot of the museum's financial health that helps reviewers determine financial stability and gives an overall picture of the institution.

Institutional Financial Statements:

- Include a required copy of your museum's financial statements for your past two complete fiscal years. If at time of application your fiscal year is complete, but not yet audited, please submit these unaudited figures and label as such.
- If your museum is part of a larger organization (municipal government, university, etc.), do not include financial statements for those parent organizations, only for the museum.
- Can be in the form of statement of activities, internal balance sheets, audit summary pages, or federal tax returns.
- Do not include copies of full audits. (Full audits may be included in the attachment section, if desired).
- Do not include audits of value or worth of the collection used for insurance purposes.

NARRATIVE

A well-designed proposal is thorough and succinct while addressing all narrative questions.

The application narrative must be no more than seven pages and:

- Identify grant activities and address the Narrative Questions listed on pages XX-XX.
- Answer each question in the order listed on pages XX-XX, with corresponding labels and numbers.
- Not include detailed budget discussions. These should be included in Budget Justification section (see page XX).
- Be legible so that reviewers can easily read the information you provide.
- Be no more than seven single-spaced, one-sided pages in length.
- Have a margin of at least .5 inch on all sides.
- Have a page number on each sheet.

- Be printed in a standard 12-point typeface with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable. Handwritten applications will not be accepted.

SCHEDULE OF COMPLETION

The applicant must provide a Schedule of Completion that shows when each major project activity will be complete and how grant funds will be expended throughout the project. The Schedule of Completion must correspond to the activities described in the Narrative. A Sample Schedule of Completion is provided on page XX. The dates on your Schedule of Completion must correspond with the project dates on the Face Sheet (pages XX) and Budget Pages (pages XX). The applicant need not follow the sample format but must provide the same information, indicating milestones for completion of each major project activity and showing how grant funds are to be spent over the course of the project. The project must begin between November 1, 2006 and January 1, 2007, starting only on the first day of the month.

BUDGET

The IMLS application for the Museum Grants for African American History and Culture includes three elements to describe the costs of a proposed project: a Summary Budget form that describes costs for the entire project, a Detailed Budget form for each year of the project, and a Budget Justification that explains all components of the Detailed Budget form.

1. DETAILED BUDGET

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions (cost sharing). In-kind contributions include the value of services or equipment that is donated to the project free of charge. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, 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. It should be completed for each year (12 month) of project activities. It should be duplicated, one set for each year of your project. It should clearly and specifically identify sources of contributions. For third party contributions, it must indicate whether the contributions are assured or pending.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

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.

Equipment

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.

Services

The costs of project activities to be undertaken by a third-party contractor, including a partner, should be listed 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. A complete itemization of these costs should be attached to the IMLS budget form. If there is more than one contractor, the cost of each contract must be listed separately on the IMLS budget form and must have an attached itemization.

Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

- Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget, but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency may charge an administrative fee to the project of up to 15%. 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. For example, if your total request to IMLS is \$100,000, and \$20,000 will be spent on a contractor to provide digitization of collections, and \$10,000 will be spent on a piece of equipment, then your modified direct costs would be \$80,000 (since you must subtract any amount over \$5,000 for large contracts and equipment when doing this calculation). Then your indirect cost are 15% of \$80,000, or \$12,000 (\$100,000 total request - \$15,000 of contractor cost - \$5,000 of equipment cost = \$80,000 modified direct costs).
- If an institution has a federally negotiated indirect cost rate that will be current at the time an award is made, 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. In this case, 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 share/match. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued.

- An institution that is in the process of negotiating an indirect cost rate with a federal agency may apply the proposed rate to estimate the 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.
- An organization that will function as a partner in undertaking grant activities may charge an administrative fee to the project of up to 15 percent if it does not have a federally negotiated indirect cost rate that will be current at the time the award is made. If it chooses to charge indirect costs to the project, a copy of the indirect cost negotiation must be attached to the budget itemization.

2. SUMMARY BUDGET

The Summary Budget should clearly identify the amount requested from IMLS, and the amount provided as cash and in-kind contributions by the applicant, any partners, and from any other sources in the cost-share column. This page is available as an electronic fill-in form on the IMLS Web site (see page XX) or may be recreated using the same format.

IMLS has provided instructions below on what information to include in the Detailed Budget form. IMLS has described each cost category included on the Detailed Budget form, as well as the information that the applicant should include in this section. It shows full project costs in each category for all years.

3. BUDGET JUSTIFICATION

The Budget Justification should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role that each person listed in the budget will play in the grant project. It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses. The applicant should provide specifications for all hardware and software requested through IMLS funding. IMLS encourages applicants to contribute as cost sharing 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. It should be no more than two single-spaced pages.

PROOF OF NON-PROFIT STATUS

If your organization is a private, non-profit organization

- You must submit a copy of the IRS letter indicating your organization's eligibility for non-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended.
- IMLS will not accept a letter of state sales tax exemption as proof of non-profit status.

LIST OF KEY PROJECT STAFF AND CONSULTANTS

A one page list of all key museum staff and consultants for the project is required. If a name appears on this list, there must be a resume attached for that person.

RESUMES

- Resumes or vita of no more than two pages each for all key personnel (both staff and consultants) must be included.
- If staff is to be hired with grant funds, a one-page position description of the open position qualifications must be included. Each position description must specify the amount and type of necessary experience, the level of education required, and the precise role that person will play in the project.
- If you have not chosen your key project personnel by the application deadline date, then you must submit position descriptions instead of resumes. Since African American History and Culture grant application reviewers rely on resumes and letters of commitment (see below) to determine the success of a project, if you have not chosen your personnel, you will be at a competitive disadvantage.

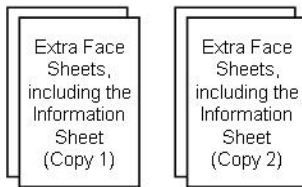
Part Five: Assembling and Sending the Application to IMLS

How To Assemble the Application Package

Review your application package carefully before sending it to us. You must include all of the required items listed below and the proper number of copies. (Each item described in detail in Step 2.) Your application is subject to rejection without review if any required item is missing. If you have any questions, contact IMLS at (202) 653-4789.

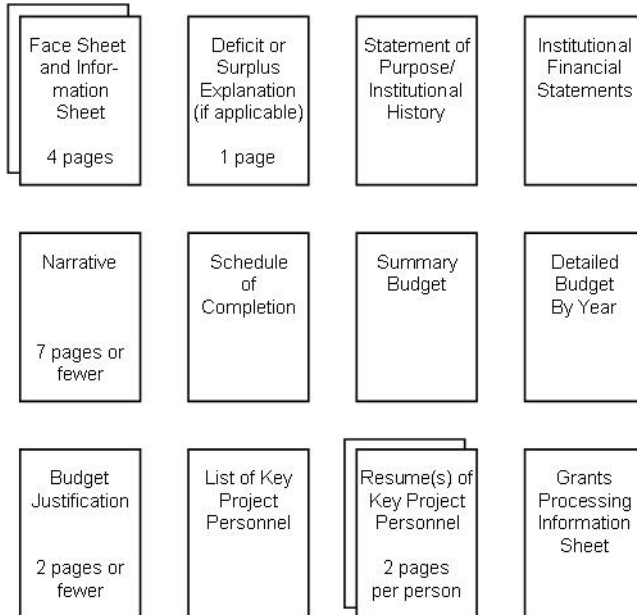
ASSEMBLE YOUR APPLICATION MATERIAL AS FOLLOWS:

Step 1: Make two photocopies of your application in addition to the original



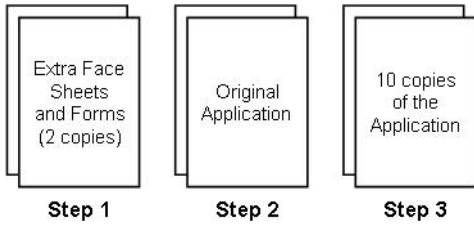
Note: Make sure to copy all 4 pages of the Face Sheet

Step 2: Collate one original (complete) copy of your application as follows:



Step 3: Make 10 identical sets of the material you assembled in step 2.

Step 4: Collate your piles from steps 1-3 as follows:



PLEASE DO NOT USE STAPLES TO FASTEN EACH COPY OF THE APPLICATION.
PLEASE USE BINDER CLIPS OR OTHER REMOVABLE BINDING SYSTEMS.

YOUR MATERIALS ARE NOW READY TO SEND TO IMLS.

Note: IMLS will not do your photocopying or collating!

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Sending the Application to IMLS

Send Museum Grants for African American History and Culture applications to:

Museum Grants for African American History and Culture
Office of Museum Services
Institute of Museum and Library Services
1800 M Street, NW, 9th Floor
Washington, DC 20036-5802

Applications must be postmarked by July 15, 2006

SHIPPING

- All applications must be postmarked no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation.
- All of the first-class and Priority mail sent through the U.S. Postal Service to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. Support materials (CDs, videos, slides, etc.) put through the irradiation process will suffer irrevocable damage.
- Please consider using commercial delivery services. Applications do not need to be sent overnight; ground service is acceptable.
- If you must use the U.S. Postal Service, IMLS recommends certified or registered mail.
- Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.
- In the event that a deadline falls on a day U.S. Post Offices are closed, such as Sundays and Federal Holidays, IMLS will accept proposals postmarked the next business day.

HAND DELIVERY

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Standard Time) daily, except Saturday, Sunday, and Federal Holidays. IMLS will provide a dated receipt at the time of delivery.

IMLS ACKNOWLEDGEMENT

- Within 30 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application number. If this form is not received, contact IMLS to make sure the application was received.

- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected. See Shipping, above, for information about postal delays.

PROOF OF SHIPPING

IMLS may ask for proof of shipping if the date on the package cannot be read.

- The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, and verify that the date stamped is correct.
- IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier.
- IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service.
- If using registered mail, the green return receipt card does not meet the IMLS requirement for proof of shipping.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected.

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Part Six: Application Forms

Application Checklist

Use this checklist to help you arrange the sections of the application in the correct order.

- Face Sheet (2 pages)
- Museum Grants for African American History and Culture Information Form (two pages)
- Explanation of budget deficit or surplus, if applicable
- Statement of Purpose/Mission Statement and History (not to exceed one page)
- Institutional Financial Statements
- Narrative (not to exceed five pages)
- Schedule of Completion
- Project Budget Forms
 - Summary Budget
 - Detailed Budget
 - Budget Justification (not to exceed two pages)
- Proof of current, federally negotiated rate for indirect costs, if applicable
- Proof of Non-profit Status, if applicable
- Assurances/Certification of Authorizing Official
- Specifications for projects involving digitization, if applicable
- List of key project staff and consultants
- Resume(s) for key project personnel (not to exceed two pages per person)
- Attachments (not to exceed 20 pages)

IMLS Face Sheet – page 1

1. Applicant Organization

Legal Name _____
Address 1 _____
Address 2 _____
City _____ County _____ State _____
Zip + 4/Postal Code _____ Congressional District _____
DUNS Number _____ Employer Identification Number (EIN/TIN) _____
Web Address <http://> _____

2. Project Information

Project Title _____
Project Description _____

Grant Period Start Date _____ End Date _____ (must begin between 11/1/06-1/1/07)

3. Project Director

Prefix _____ First Name _____ Middle Initial _____
Last Name _____ Suffix _____
Title _____
Address 1 _____
Address 2 _____
City _____ County _____ State _____
Zip + 4/Postal Code _____ E-mail _____
Phone _____ Fax _____

4. Primary Contact/Grants Administrator

Same as Project Director (skip to item 5)

Prefix _____ First Name _____ Middle Initial _____
Last Name _____ Suffix _____
Title _____
Address 1 _____
Address 2 _____
City _____ County _____ State _____
Zip + 4/Postal Code _____ E-mail _____
Phone _____ Fax _____

Continue to line 5

5. Type of Applicant: Check the one Applicant Type that applies.

- State Government
- County Government
- City or Township Government
- Special District Government
- Regional Organization
- U.S. Territory or Possession
- Independent School District
- Public/State Controlled Institution of Higher Learning
- Indian/Native American Tribal Government (federally recognized)
- Indian/Native American Tribal Government (other than federally recognized)
- Indian/Native American Tribally Designated Organization
- Public/Indian Housing Authority
- Nonprofit with 501(C)(3) IRS Status (other than institution of higher education)
- Nonprofit without 501(C)(3) IRS Status (other than institution of higher education)
- Private Institution of Higher Education
- Individual
- For-Profit Organization (other than small business)
- Small Business
- Hispanic-Serving Institution
- Historically Black Colleges and Universities (HBCUs)
- Tribally Controlled Colleges and Universities (TCCUs)
- Alaska Native and Native Hawaiian Serving Institutions
- Non-Domestic (non-U.S.) Entity
- Other (specify) _____

6. Authorizing Representative/Authorizing Official

By signing the application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

(U.S. Code, Title 218, Section 1001) I Agree

**Certifications and Assurances are set forth in the IMLS guidelines for the program to which application is made.

Prefix _____ First Name _____ Middle Initial ____
Last Name _____ Suffix _____
Title _____
E-mail _____
Phone _____ Fax _____

Signature of Authorized Representative/Authorizing Official Date Signed

Museum Grants for African American History and Culture Information Sheet

1. Legal Name _____
 Organizational Unit (if different from Legal Name) _____
 Address 1 _____
 Address 2 _____
 City _____ County _____ State _____
 Zip + 4/Postal Code _____

2. Type of museum (*check one*)

- | | |
|---|--|
| <input type="checkbox"/> Aquarium | <input type="checkbox"/> Nature Center |
| <input type="checkbox"/> Arboretum/Botanical garden | <input type="checkbox"/> Natural History museum |
| <input type="checkbox"/> Art museum | <input type="checkbox"/> Planetarium |
| <input type="checkbox"/> Children's/youth museum | <input type="checkbox"/> Science/technology museum |
| <input type="checkbox"/> General museum* | <input type="checkbox"/> Zoo |
| <input type="checkbox"/> Historic house/site | <input type="checkbox"/> Specialized** |
| <input type="checkbox"/> History museum | <input type="checkbox"/> Other _____ |

* A museum with collections representing two or more disciplines equally (e.g., art and history).
 ** A museum with collections limited to one narrowly defined discipline (e.g., textiles, stamps, maritime, ethnic group).

3. Museum's attendance for the 12-month period prior to the application.

Onsite _____ Offsite _____

4. Total number of hours the museum was open to the public for the 12-month period prior to the application: _____

5. Year the Museum was first open and exhibiting to the public _____

6. Number of full-time paid museum staff _____ 7. Number of part-time paid museum staff _____

8. Number of full-time unpaid museum staff _____ 9. Number of part-time unpaid museum staff _____

10.

Fiscal Year	Revenue/Support/Income	Expenses/Outlays	Budget Deficit (if applicable)	Budget Surplus (if applicable)
Most recently completed FY 20____	\$ _____	\$ _____	(\$ _____)	\$ _____
Second most recently completed FY 20____	\$ _____	\$ _____	(\$ _____)	\$ _____

***If institution has a budget deficit or surplus for either of the two most recently complete fiscal years, please attach a single sheet behind this face sheet to explain the circumstances of this deficit or surplus.*

Continue to Line 11

11. Total Amount Requested \$_____.

12. Amount of Cost Share \$_____.

13. Summary of project activities (2,000 maximum character count):

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Project Budget Form

SECTION 1: SUMMARY BUDGET

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS BEFORE PROCEEDING.

DIRECT COSTS

	IMLS	Cost Share	Total
SALARIES & WAGES	_____	_____	_____
FRINGE BENEFITS	_____	_____	_____
CONSULTANT FEES	_____	_____	_____
TRAVEL	_____	_____	_____
MATERIALS, SUPPLIES & EQUIPMENT	_____	_____	_____
SERVICES	_____	_____	_____
OTHER	_____	_____	_____
TOTAL DIRECT COSTS	\$ -----	\$ -----	\$ -----
INDIRECT COSTS	\$ -----	\$ -----	\$ -----
		TOTAL PROJECT COSTS	\$ -----

AMOUNT OF COST SHARE \$ -----

AMOUNT OF IN-KIND CONTRIBUTIONS \$ -----

TOTAL AMOUNT OF COST SHARE (CASH & IN-KIND CONTRIBUTIONS) \$ -----

AMOUNT REQUESTED FROM IMLS, INCLUDING INDIRECT COSTS \$ -----

PERCENTAGE OF TOTAL PROJECT COSTS REQUESTED FROM IMLS ----- %
(MAY NOT EXCEED 50%)

Have you received or requested funds for any of these project activities from another federal agency?
(Please check one) Yes No

If yes, name of agency _____

Request/Award amount _____

Project Budget Form

SECTION 2: DETAILED BUDGET

Year 1 2 3

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES, & EQUIPMENT \$				_____

SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL SERVICES COSTS \$				_____

OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL OTHER COSTS \$				_____

TOTAL DIRECT PROJECT COSTS \$ _____
--

INDIRECT COSTS

Read the instructions about Indirect Costs before completing this section.

- Applicant organization is using (check one)
- An indirect cost rate that does not exceed 15 percent
 - A current, federally negotiated indirect cost rate

Name of Federal Agency	Expiration Date of Agreement
------------------------	------------------------------

- A proposed rate while negotiating a federally negotiated indirect cost rate (must include the indirect cost proposal in the application material)

Name of Federal Agency	Date of initial proposal
------------------------	--------------------------

Indirect Cost Calculations

_____ % of \$ _____ (modified direct IMLS costs) = \$ _____ IMLS indirect portion

_____ % of \$ _____ (modified direct Cost Share costs) = \$ _____ Cost Share indirect portion

Total indirect costs = \$ _____

Project Budget Form

SECTION 2: DETAILED BUDGET

Year 1 2 3 - Budget Period from ___/___/___ to ___/___/___

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS BEFORE PROCEEDING.

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____

FRINGE BENEFITS

RATE	SALARY BASE	IMLS	COST SHARE	TOTAL
_____ % of \$	_____	_____	_____	_____
_____ % of \$	_____	_____	_____	_____
_____ % of \$	_____	_____	_____	_____
TOTAL FRINGE BENEFITS \$		_____	_____	_____

CONSULTANT FEES

NAME/TITLE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	No. of Days (or Hours) on Project	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL CONSULTANT FEES \$			_____	_____	_____

TRAVEL

FROM/TO	NUMBER OF: PERSONS	DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	COST SHARE	TOTAL
_____	()	()	_____	_____	_____	_____	_____
_____	()	()	_____	_____	_____	_____	_____
_____	()	()	_____	_____	_____	_____	_____
_____	()	()	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS \$					_____	_____	_____

Project Budget Form

SECTION 2: DETAILED BUDGET

Year 1 2 3

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS BEFORE PROCEEDING.

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____

FRINGE BENEFITS

RATE		SALARY BASE	IMLS	COST SHARE	TOTAL
_____ % of \$	_____	_____	_____	_____	_____
_____ % of \$	_____	_____	_____	_____	_____
_____ % of \$	_____	_____	_____	_____	_____
TOTAL FRINGE BENEFITS \$			_____	_____	_____

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	No. OF DAYS (OR HOURS) ON PROJECT	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL CONSULTANT FEES \$			_____	_____	_____

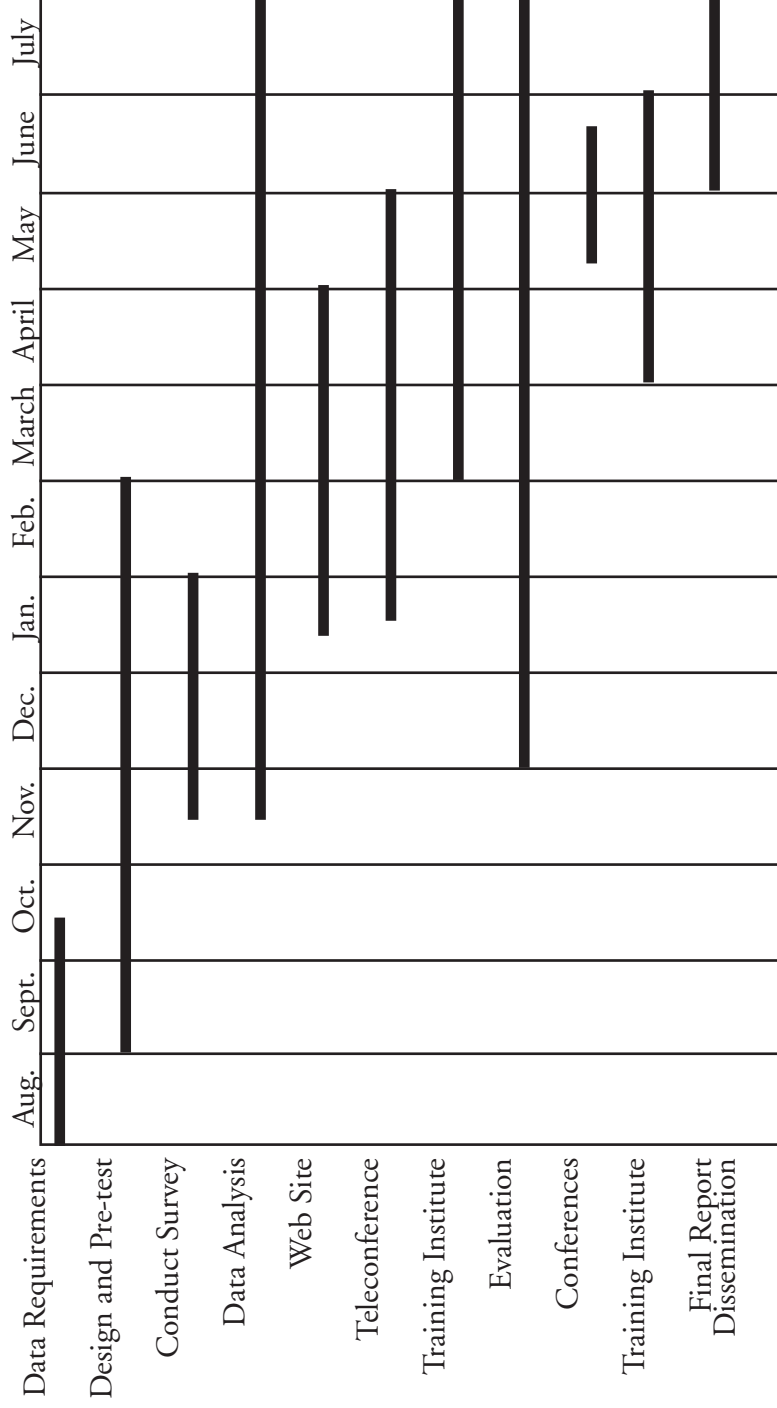
TRAVEL

FROM/TO	NUMBER OF: PERSONS	DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	COST SHARE	TOTAL
_____	()	()	_____	_____	_____	_____	_____
_____	()	()	_____	_____	_____	_____	_____
_____	()	()	_____	_____	_____	_____	_____
_____	()	()	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS \$					_____	_____	_____

Schedule of Completion

SAMPLE

This is a sample format for a schedule of completion (see page 3.5). You may prepare yours in a similar manner or you may create your own format. Whatever format you choose, be sure to list each major project activity addressed in question 1 (page 4.2), the date each activity begins and ends (month, day, year), and if part of a much larger project make sure the IMLS funded portion is clearly identified. It is critical that the dates on your schedule of completion correspond to the project dates on your Face Sheet (page 6.3).



Grant Processing Information Sheet

ELIGIBILITY REQUIREMENTS

All IMLS Museum Grants for African American History and Culture applicants must answer the following questions. If your answer is not YES to each question, your institution is not eligible for this program.

Please check the appropriate answer.

1. A museum whose primary purpose, as reflected in its mission, is African American life, art, history, and culture.
 Yes No
2. Is the institution either a unit of state or local government or a private not-for-profit organization that has tax-exempt status under the Internal Revenue Code, which is organized on a permanent basis for essentially educational or aesthetic purposes?
 Yes No
3. Does the institution own or use tangible objects, whether animate or inanimate?
 Yes No
4. Does the institution care for tangible objects, whether animate or inanimate?
 Yes No
5. Are these objects exhibited by the institution to the general public on a regular basis through facilities the institution owns or operates?
 Yes No
6. Is the institution open and exhibiting tangible objects to the general public at least 120 days a year through facilities the institution owns or operates?
 Yes No
7. Does the institution employ at least one professional staff member, or the fulltime equivalent, whether paid or unpaid, who is primarily engaged in the acquisition, care, or exhibition to the public of tangible objects owned or used by the institution?
 Yes No

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. 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" (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/authorizing official must review the Statement and sign the certification in, item 6 on the Application Face Sheet, pages 6.3 to 6.6. If you receive a grant, you must comply with these requirements.

ASSURANCES STATEMENT

By signing the application form, the authorized representative/authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations, which are available from IMLS upon request. 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.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

FINANCIAL, ADMINISTRATIVE, AND LEGAL ACCOUNTABILITY

The authorized representative/authorizing official, 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/authorizing official, 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/authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

FEDERAL DEBT STATUS

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

**DEBARMENT
AND
SUSPENSION**

- The authorized representative/authorizing official, 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 debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
 - (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (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 enumerated in paragraph (b) of this certification; and
 - (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-
DISCRIMINATION**

- The authorized representative/authorizing official, 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) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

**DRUG-FREE
WORKPLACE
ACT OF
1988**

- (A) The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
 - (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - (1) the dangers of drug abuse in the workplace;
 - (2) the grantee's policy of maintaining a drug-free workplace;
 - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

- (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - (1) abide by the terms of the statement; and
 - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
- (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.); or
 - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency; and
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**CERTIFICATION
REGARDING
LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$ 100,000)**

The authorized representative/authorizing official 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 authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement;
- (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the authorized representative/authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions; and
- (c) the authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL
CERTIFICATION**

The authorized representative/authorizing official, on behalf of the applicant, certifies that it 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 CFR Part 1180 *et seq.*

II. 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.

SUBAGREEMENTS

Applicants who plan to use awards to fund subgrants, contracts and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and 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 applicants to grant programs (regardless of the amount requested) and 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 all grant proposals and 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.

**NATIVE
AMERICAN
HUMAN
REMAINS
AND
ASSOCIATED
FUNERARY
OBJECTS**

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

**ENVIRONMENTAL
PROTECTIONS**

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

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

**RESEARCH
ON HUMAN
AND
ANIMAL
SUBJECTS**

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

The authorized representative/authorizing official, 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, 1800 M Street, NW, 9th Floor, Washington, DC 20036. Or call (202) 653-4707.