



INSTITUTE of  
**Museum and Library**  
SERVICES

2009

# National Leadership Grants

Grant Program Guidelines  
CFDA No. 45.312

*Application Deadline: February 1, 2009*

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

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IMLS will provide visually impaired or learning-disabled persons with an audio recording of this publication or any other grant publication on request.

### 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, 3 hours per response for the Detailed Budget and Summary Budget, 1 hour for the Specifications for Projects that Develop Digital Products form, and 10 minutes per response for the Partnership Statement. 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 2009 guidelines for National Leadership Grants (NLG). Now in its eleventh year, the National Leadership Grants program has remained the capstone program for the Institute of Museum and Library Services, providing the agency's highest level of support for innovative projects with national impact that create important research, tools, and models for library and museum programs across the country.

Interested museums and libraries can apply to one of the two NLG funding categories, either Project or Planning Grants. Four types of projects comprise each funding category: Advancing Digital Resources; Library and Museum Collaboration; Research Projects; and Demonstration Projects. These categories support the agency's focus on public service, conservation, preservation, digital innovation, and encouraging partnerships.

I invite you to read these guidelines, speak with IMLS staff, and consider applying for funding. I also encourage you to contact IMLS if you are interested in becoming a peer reviewer. The expertise you bring is invaluable to us in this process, and we are always seeking new and fresh perspectives.

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

---

<b>About the Institute of Museum and Library Services .....</b>	<b>7</b>
<b>About the National Leadership Grants Program .....</b>	<b>8</b>
<b>Institutional Eligibility.....</b>	<b>9</b>
Eligibility for Libraries .....	9
Eligibility for Museums .....	9
<b>Categories of Funding.....</b>	<b>11</b>
Project Grants .....	11
Planning Grants .....	11
<b>Categories of Projects.....</b>	<b>13</b>
Advancing Digital Resources .....	13
Research.....	13
Demonstration.....	14
Library and Museum Collaboration Grants .....	14
<b>Partnerships .....</b>	<b>15</b>
Library and Museum Collaboration Grants .....	15
Collaborative Planning Grants .....	15
<b>Application Tips .....</b>	<b>16</b>
<b>Data Universal Numbering System (D-U-N-S) Number, Taxpayer Identification Number (TIN), and Employer Identification Number (EIN) .....</b>	<b>17</b>
<b>Award Information .....</b>	<b>18</b>
Duration of a Grant.....	18
Project Start Date.....	18
Amount of Grant.....	18
Cost Sharing.....	18
Use of Funds.....	18
Project Evaluation .....	18
Copyright/Work Products .....	19
Announcement of Award.....	19
Payment, Accounting, Management, and Reporting Procedures.....	19
<b>Application Review Process .....</b>	<b>21</b>
<b>Guidance for Projects That Develop Digital Products.....</b>	<b>22</b>
Information to Include in Proposal .....	22
Interoperability.....	22
Digitization Plans.....	22
Resources for Digitization Projects .....	22

## Preparing and Submitting an Application

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<b>Grants.Gov Information and Instructions</b> .....	<b>27</b>
Find Grant Opportunities .....	27
Get Registered .....	27
Apply for Grants .....	27
Grants.gov Help .....	28
<b>Preparing an Application</b> .....	<b>30</b>
Application Components .....	30
Attachments: Naming the Files and Their Sequence .....	31
SF-424s (Face Sheet).....	32
Abstract .....	33
Program Information Sheet.....	34
Narrative.....	35
Evaluation Criteria .....	35
Budget.....	38
Detailed Budget.....	38
Summary Budget .....	41
Budget Justification .....	41
Schedule of Completion .....	41
Specifications for Projects That Develop Digital Products.....	41
Partnership Statement .....	44
Organizational Profile.....	45
List of Key Project Staff and Consultants and Resumes for Key Project Staff .....	45
Proof of Nonprofit Status.....	45
Federally Negotiated Indirect Cost Rate Agreement .....	46
Supporting Documentation.....	46
<b>IMLS Assurances and Certification</b> .....	
Assurances Statement .....	48
Certifications Required of All Applicants .....	48
Certifications Required of Some Applicants.....	50

## **GENERAL INFORMATION**

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## 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](http://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 helps make it possible for libraries and museums to be leaders in their communities.

Libraries and museums 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 libraries and museums 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 libraries and museums 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 enable the Institute of Museum and Library Services to make a significant contribution to library, museum, and information policy and practice in the United States.



## ABOUT THE NATIONAL LEADERSHIP GRANTS PROGRAM

National Leadership Grants support projects that have the potential to elevate museum and library practice. The Institute seeks to advance the ability of museums and libraries to preserve culture, heritage, and knowledge while enhancing learning.

Successful proposals will have national impact and generate results—new tools, research, models, services, practices, or alliances—that can be widely adapted or replicated to extend the benefit of federal investment. IMLS seeks to fund projects that have the following characteristics:

- **Strategic Impact**—Proposals should address key needs and challenges that face libraries and museums. They should expand the boundaries within which libraries and museums operate, show the potential for far-reaching impact, and influence practice throughout the museum and/or library communities.
- **Innovation**—Proposals should demonstrate a thorough understanding of current practice and knowledge about the project area and show how the project will advance the state of the art of museum and library service.
- **Collaboration**—While partners are not required in all NLG categories, the Institute has found that involving carefully chosen partners with complementary competencies and resources can create powerful synergies that extend project impact. Proposals should show understanding of the challenges of collaboration and propose means for addressing them.

Collaborative planning grants are also available to enable project teams from more than one institution to work together to plan a project for a National Leadership Grant.

### Conference Calls with IMLS National Leadership Grants Staff

IMLS offers an opportunity to discuss application or general issues about the National Leadership Grants program with the program staff. We invite anyone to join the conference call to listen to the comments of IMLS program staff and those of other callers, as well as asking any questions you might have. The expected conference call schedule is:

- December 10, 2008
- January 8, 2009

Please check the IMLS Web site ([www.ims.gov](http://www.ims.gov)) for any changes in dates and to find the toll-free conference call number.

# INSTITUTIONAL ELIGIBILITY

## Eligibility for Libraries

An eligible applicant must be:

- either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
- located in one of the fifty states of the United States, 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
- one of the six types of organizations listed below:
  1. A library or a parent organization, such as a school district, a municipality, a state agency, or an academic institution, that is responsible for the administration of a library. Eligible libraries include public libraries, elementary and secondary school libraries, college and university libraries, research libraries and archives that are not an integral part of an institution of higher education and that make publicly available library services and materials that are suitable for scholarly research and not otherwise available,<sup>1</sup> and private or special libraries that have been deemed eligible to participate in this program by the state in which the library is located.
  2. An academic or administrative unit, such as a graduate school of library and information science, that is part of an institution of higher education through which it would make application.
  3. A digital library, if it makes library materials publicly available and provides library services, including selection, organization, description, reference, and preservation, under the supervision of at least one permanent professional staff librarian.
  4. A library agency that is an official agency of a state or other unit of government and is charged by the law governing it with the extension and development of public library services within its jurisdiction.
  5. A library consortium that is a local, statewide, regional, interstate, or international cooperative association of library entities that provides for the systematic and effective coordination of the resources of eligible libraries, as defined above, and information centers that work to improve the services delivered to the clientele of these libraries.
  6. A library association that exists on a permanent basis, serves libraries or library professionals on a national, regional, state, or local level, and engages in activities designed to advance the well-being of libraries and the library profession.

## Eligibility for Museums

An applicant must be either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code; be located in one of the fifty states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana

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<sup>1</sup> Research libraries must be either generally recognized as possessing unique scholarly research materials and services that are made available to the public, or able to demonstrate that such is the case when submitting an application to IMLS.

Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and qualify as one of the following three types of organizations:

1. A museum<sup>2</sup> that, using a professional staff,<sup>3</sup>
  - is organized on a permanent basis for essentially educational or aesthetic purposes;
  - owns or uses tangible objects, either animate or inanimate;
  - cares for these objects; and
  - exhibits these objects to the general public on a regular basis through facilities that it owns or operates.<sup>4</sup>
2. An organization or association that engages in activities designed to advance the wellbeing of museums and the museum profession.<sup>5</sup>
3. An institution of higher education, including public and nonprofit universities. 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 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.

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<sup>2</sup> 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.

<sup>3</sup> An institution uses a professional staff if it employs at least one professional staff member, or the fulltime equivalent, whether paid or unpaid, primarily engaged in the acquisition, care, or exhibition to the public of objects owned or used by the institution.

<sup>4</sup> An institution exhibits objects to the general public if such exhibition is a primary purpose of the institution. An institution that exhibits objects to the general public for at least 120 days a year is deemed to exhibit objects to the general public on a regular basis. An institution 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 that 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, see 45 C.F.R. Chapter XI, Subchapter E (Institute of Museum and Library Services).

<sup>5</sup> For example, a friends group associated with a single museum is not an eligible applicant.

## CATEGORIES OF FUNDING

IMLS supports two types of activities within the National Leadership Grants Program: Project Grants and Collaborative Planning Grants

### Project Grants

Categories: Advancing Digital Resources, Research, Demonstration, and Library and Museum Collaboration  
Amount of grant: \$50,000–\$1,000,000.  
Grant period: Up to three years.  
Cost sharing: One-to-one from nonfederal sources for requests greater than \$250,000. Cost sharing of at least one third is encouraged for requests at or below \$250,000. Research grants do not require a match.

Proposals should describe projects with thorough needs assessments, completely developed work plan activities, appropriate research methodologies if applicable, and robust assessment plans. Competitive applications describe projects that are ready and committed to use the substantial resources to produce programs, collections, research findings, and/or tools that will have strategic impact, demonstrate innovation, and/or have strong collaboration (see p. 8).

### Planning Grants

Categories: Advancing Digital Resources, Research, Demonstration, and Library and Museum Collaboration  
Amount of grant: Up to \$100,000.  
Grant period: Up to one year.  
Cost sharing: Cost sharing of at least one third is encouraged.

All applicants are expected to have a basic framework (concept, team work plan, intended results) for a project that has the potential for national leadership.

**Collaborative Planning Grants** support activities required to fully develop ideas for a National Leadership Grant project among project partners and should result in such products as plans, prototypes, or proofs of concept, which could lead to a National Leadership Grant proposal.

Collaborative Planning Grants can support a variety of activities including: partnership development, literature searches, project formation, and other planning efforts.

These planning grants may also be used for workshops or convenings to support discussion by library and/or museum experts. These meetings should consider issues of national importance in the library and/or museum field, and result in a broadly disseminated report identifying the national challenges discussed, with recommendations for proposed research or solutions to address the challenges. Workshop/convening recommendations could lead to one or more National Leadership Grant proposals for project grants.

Applicants must have at least one formal partner. All partners must complete the Partnership Statement form. Funds may support the full range of planning components, including salaries, consultant fees, travel, meeting costs, services, and materials and supplies. For

workshops/convenings, the costs of development and dissemination of the final report will also be supported. Applicants must follow the National Leadership Grant application instructions.

Applicants for Collaborative Planning Grants are required to complete the first four narrative sections: Assessment of Need, National Impact and Intended Results, Project Design and Evaluation Plan, and Project Resources. If the Collaborative Planning Grant results in reports or other outputs, the applicant should address dissemination of the product information under Project Design.

Applicants for Collaborative Planning Grants should not address the Dissemination or Sustainability sections.

An award of any type of planning grant neither guarantees nor implies future funding.

## CATEGORIES OF PROJECTS

Applicants may apply for a project or planning grant in one of the following categories:

### **Advancing Digital Resources**

*Purpose:* Advancing Digital Resources grants support the creation, use, preservation, and presentation of significant digital resources as well as the development of tools to manage digital assets, incorporating new technologies or new technology practice. Projects should enhance learning and innovation by ensuring that the digital assets promote individual and community access to museum and library resources. This category encourages explorations of all types of digital resources, from use of resources on the Web to digital content through video, audio, or television.

Proposed projects may:

- develop and disseminate new tools that facilitate management, preservation, sharing, and use of digital resources;
- increase community access to institutional resources through innovative use of existing technology-based tools;
- increase community access to institutional resources by improving practice in use, dissemination, and support of existing technology-based tools;
- digitize, preserve, and aggregate digital content on a large-scale, statewide, or cross-institutional thematic basis;
- develop or advance participation in museum and/or library communities using social technologies in new ways; or
- develop new approaches or tools for digital curation.

IMLS encourages digitization projects with item-level metadata that are harvestable with the Open Archives Initiative (OAI) Protocol for Metadata Harvesting.

### **Research**

*Purpose:* Research grants support projects that have the potential to improve museum and library practice, resource use, programs, and services. Both basic and applied research projects are encouraged. Research proposals should pose a question and explain through the plan of work how the question will be investigated, how the data will be gathered and analyzed, and how the results will be evaluated and disseminated. Additionally, methodologies must be replicable and results valid and predictable. Successful proposals will place the proposed work within the context of current research. Applied research may include testing in a real-world environment, but must be carried out through investigative methodology. Results of research must be generalizable and of broad benefit to the library or museum field. Research conducted by a collaboration between a library and a museum should be submitted under the Library and Museum Collaboration Grants category.

Examples of potential projects include those that:

- evaluate the impact of library or museum services;
- investigate the impact of information and communications technologies on the delivery and use of library and museum services, especially with regard to free versus fee-based

and onsite versus remote online access to services and resources, and changing public expectations and behaviors;

- investigate how learning takes place in museums and libraries and how use of library and/or museum resources enhances learning;
- investigate how to improve the quality, effectiveness, or efficiency of library or museum management, programs, or services;
- investigate ways to enhance the archiving, preservation, management, discovery, and use of digital assets and resources; or
- investigate or conduct research to add new knowledge or make improvements on the conservation and preservation of collections.

## **Demonstration**

*Purpose:* Demonstration projects use available knowledge to address key needs and challenges facing libraries and museums, and transform that knowledge into formal practice. Projects applying under this category should produce a replicable model usable by other institutions for improving practice.

Proposed projects may:

- demonstrate and/or test new practices in museum and/or library operations;
- demonstrate how museums and/or libraries serve their communities, by fostering public value, and implement systemic changes in the field;
- establish and/or test standards and tools for innovative learning; or
- demonstrate and/or test an expansion of preservation or conservation practices.

## **Library and Museum Collaboration Grants**

*Purpose:* Library and Museum Collaboration Grants are designed to create new opportunities for libraries and museums to engage with each other to support the educational, economic, and social needs of their communities. A partnership of at least one eligible library entity and one eligible museum entity is required. Additional partners are encouraged, where appropriate. In addition to libraries, archives, and museums, IMLS encourages other partners, such as: community organizations, public media, and other institutions and agencies that may help libraries and museums to better serve their communities. The lead applicant must be an eligible library or museum entity and will serve as the financial agent if a grant is awarded. Each partner must complete a Partnership Statement form. Grant funds support innovative collaborative projects—whether new or building on an existing collaboration.

Proposed projects may:

- address community civic and educational needs;
- increase the organizations' capacity to serve as effective venues and resources for learning;
- use technology in innovative ways to serve audiences more effectively;
- conduct collaborative research; or
- advance knowledge and best practices through collaborative digital projects.

## PARTNERSHIPS

Partnerships are encouraged for all National Leadership Grant categories, but they are specifically required for two categories: the Library and Museum Collaboration Grants and the Collaborative Planning Grants. Where appropriate, partnerships stimulate a broader community perspective and extend the impact of libraries and museums by leveraging the resources of all partners. The lead applicant serves as the fiscal agent for the project and must be an eligible entity. All partners must complete a Partnership Statement.

The members of the partnership shall either designate one member of the partnership to apply for the grant, or establish a separate, eligible legal entity consisting of the partnership members to apply for the grant. Any group application must contain a Partnership Statement that details the activities that each member of the partnership plans to perform and binds each member of the partnership to every statement and all assurances made by the applicant in the application. The applicant shall submit the Partnership Statement with the application.

By submitting the Partnership Statement with the application, the applicant affirms that (1) each partner is available and has agreed to participate, and (2) the Partnership Statement is true, complete, and accurate to the best of the applicant's authorized representative's knowledge. The applicant will ensure that each partner also provides a signed original version of the Partnership Statement to the applicant, and that this form will be made available to IMLS on request.

If IMLS makes a grant to a partnership, the lead applicant for the partnership is the grantee and is legally responsible for the use of all grant funds and for ensuring that the project is carried out by the partnership in accordance with the terms of the grant and all applicable federal laws, regulations, and requirements. The lead applicant must be the fiscal agent, but may subcontract with partners for other specific activities or services. Each member of the partnership is legally responsible for carrying out the activities it agrees to perform and using the funds it receives in accordance with the terms of the grant and all applicable federal laws, regulations, and requirements.

### **Library and Museum Collaboration Grants**

The partnership must include both an eligible library entity and an eligible museum entity. Additional partners may include community organizations, public broadcasters, private sector organizations, and other institutions and agencies whose efforts may help to enhance library or museum services. A library and museum under the control of one parent multipurpose organization may apply in partnership, so long as each applicant has independent administrative authority and a separately developed operating budget within the larger budget of the parent organization. For example, a library and a museum both owned and operated by a city government, but having separate facilities, separate staffs, and autonomous operations, are eligible to apply as a partnership. However, neither a library that has an exhibition function nor a museum with a library function constitutes an eligible partnership.

### **Collaborative Planning Grants**

The required partnership must include at least two institutions, one of which must be an eligible library entity or an eligible museum entity.



# APPLICATION TIPS

## To Make Your Application More Competitive...

- Start with a good idea! Identify the problem you are trying to solve and a potential solution that grant funding would support. In general, projects that benefit more than one institution and reach a broad audience will be the most competitive.
- Match your idea with the appropriate funder and program—contact the program officer to find out if your idea matches the goals of the program.
- Read the program guidelines carefully and note all instructions and deadlines. It takes time to develop a good proposal and a good project, so give yourself plenty of it.
- Assemble your project team, including external partners—your team will be your most important asset.
- Meet to discuss all aspects of the project and all of the program evaluation criteria—identify assets, weaknesses, and potential allies. Ask questions: Who is the target audience? What are the anticipated outcomes (who will benefit and how)? How can the benefits be measured (how will you know if you succeed)? Who will know about it? Generally, projects involving two or more institutions will require time and ongoing discussions to develop a strong relationship, but projects based on these kinds of collaborative relationships will be more competitive for funding and more successful in execution. Involve potential allies as partners, members of advisory boards, or writers of support letters. They will help to disseminate results and extend the benefit.
- Develop a draft proposal—follow the recommended format and all instructions, and address all of the evaluation criteria in the order prescribed. Be sure to highlight your assets and try to resolve potential weaknesses (e.g., arrange to hire a consultant if your team lacks expertise in a specific area). Write in plain, understandable language.
- Contact your program officer for clarification of questions.
- Ask others who have not been involved in the project to read your draft—they may notice an important omission or weakness.
- Revise your proposal and submit it on time.
- If your proposal is not successful, do not be discouraged. Read the reviewers' comments carefully—they can provide important suggestions for improving your project. Ask your program officer to help clarify any comments that you do not understand.

IMLS has available for review on its Web site ([www.imls.gov](http://www.imls.gov)) examples of successful application narratives for the National Leadership Grants program. You may view them on or download them from the Web site to use as guides in the preparation of your own narrative. Contact the Office of Library Services at 202/653-4700 or the Office of Museum Services at 202/653-4789 if you have questions.

## DATA UNIVERSAL NUMBERING SYSTEM (D-U-N-S) NUMBER, 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 & Bradstreet Data Universal Numbering System (D-U-N-S<sup>®</sup>) number when applying for federal grants or cooperative agreements on or after October 1, 2003.

Organizations should verify that they have a D-U-N-S number or take steps to obtain one. Organizations can receive a D-U-N-S number at no cost by calling the dedicated toll-free D-U-N-S number request line at 1-866-705-5711 or by visiting [www.dnb.com/us](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.

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 D-U-N-S and TIN numbers, its application will be rejected.

## AWARD INFORMATION

### Duration of a Grant

Project activities may be carried out for a period of up to 3 years, except for Collaborative Planning Grants, which run for a period of up to 1 year.

### Project Start Date

Projects may begin no earlier than October 1, 2009, and no later than December 1, 2009. Projects must begin on the first day of the month and end on the last day of the month.

### Amount of Grant

Grant award amounts are \$50,000–\$1,000,000 in all categories, except for Collaborative Planning Grants, which are up to \$100,000. IMLS will review and negotiate budgets as necessary. IMLS may award an amount less than that requested by an applicant.

### Cost Sharing

Applicants are expected to share project expenses through the applicants' and partner institutions' cost share. Applicants to this program—other than those requesting research funds and those applying under the Collaborative Planning Grants category—are **REQUIRED** to provide cost sharing of at least one half of the total cost of the project if the request for IMLS funds is more than \$250,000. Applicants who request \$250,000 or less are encouraged to provide at least one third of the total project cost from nonfederal sources. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide uniform administrative rules and requirements apply, including where applicable 45 C.F.R. Chapter XI. **Federal funds may not be used to meet cost-sharing requirements.**

Because research benefits the museum, library, and information sciences communities beyond any one institution, IMLS does not require a match for research proposals. However, applicants for research grants are encouraged to provide at least one third of the total cost of the project from nonfederal sources. IMLS will consider cost-sharing contributions as a competitive factor when evaluating research proposals (see "Evaluation Criteria," pp. 35–38). **Proposals that demonstrate strong institutional support through cost sharing are generally rated more favorably by reviewers.**

### Use of Funds

Grant funds may not be used for construction, acquisition of collections, contributions to endowments, social activities, ceremonies, entertainment, or pre-grant costs. 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. All listed expenses must be incurred during the grant period. Government-wide cost principles apply, including, where applicable, those in 45 C.F.R. Chapter XI.

### Project Evaluation

At the end of the project all grantees are required to submit a final performance report that documents project goals and project design, and that provides an analysis of the project. The report requires quantitative information on project activities and audiences reached. The report

also requires quantitative and qualitative data that documents project achievements, summarizes lessons learned, and documents outcomes (changes in individual's knowledge, skills, attitudes, behaviors, etc.) and, if applicable, large-scale or long-term results that affect one or more institutions, communities, or fields.

Applicants should include information in the application narrative that demonstrates that the project plan and evaluation design will enable the grantee to provide the data and analysis necessary to meet the requirements of the final report. See the final report form at [www.imls.gov/recipients/administration.shtm](http://www.imls.gov/recipients/administration.shtm).

IMLS encourages the use of an approach called outcome-based evaluation (OBE) when it is appropriate for the type of project to be conducted. Any project that identifies learning or education for any audience among its goals should plan to measure representative outcomes for that aspect of its work. Information about evaluation is available on the IMLS Web site at [www.imls.gov/applicants/obe.shtm](http://www.imls.gov/applicants/obe.shtm) or on request from IMLS.

IMLS also encourages applicants to consider participating in *Shaping Outcomes*, a Web-based course for which information is available at [www.shapingoutcomes.org](http://www.shapingoutcomes.org), or a similar learning experience in advance of application. Such programs are intended to help planners refine their purposes and evaluation plans.

Applicants are required to request travel funds to attend IMLS-designated meetings to share project information. Applicants should budget \$2,000 per year for this IMLS-designated travel, or \$4,000 per year for partnership projects.

### **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 for another arrangement. The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. IMLS reserves, for federal government purposes, a royalty-free, worldwide, 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 awardees provide three copies of any products produced with IMLS funds to IMLS with the final reports. Generally, a beta version of software developed on an IMLS-funded project must be provided to IMLS as a product of the grant. Consult with IMLS regarding software development projects.

### **Announcement of Award**

No information about the status of an application will be released until all applications have been reviewed and all deliberations are concluded. IMLS will notify applicants of final decisions by late September 2009.

### **Payment, Accounting, Management, and Reporting Procedures**

A federal accounting office handles the payment of grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires each grant recipient to maintain a restricted account for funds received during the project period. A recipient does not need to maintain a separate bank account for IMLS grant funds; however, it must establish and maintain a separate accounting

category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

Grant recipients are required to submit semiannual 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 PROCESS

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible as an official applicant (see “Institutional Eligibility,” pp. 9–10), the application will be rejected without evaluation and the applicant notified by IMLS. Applicants are encouraged to call IMLS Senior Program Officer Dan Lukash (museums) or IMLS Senior Program Officer Rachel Frick (libraries) before submission of their applications to discuss them and resolve eligibility questions.

All eligible and complete applications for National Leadership Grants will be evaluated through a peer-review process. Reviewers will have professional experience in the various types of activities and projects. The IMLS director will make the final funding decisions on the basis of the evaluations by reviewers, the types of projects encouraged by IMLS, and the overall goals of the grant program and IMLS.

Reviewers provide their evaluation applying the review criteria identified with the narrative questions on pages 35–38. For examples of funded projects, search the Awarded Grants database at [www.ims.gov/search.asp](http://www.ims.gov/search.asp).

# GUIDANCE FOR PROJECTS THAT DEVELOP DIGITAL PRODUCTS

## Information to Include in Proposal

In the proposal narrative, include a description of the subject matter and its significance, including relationships to related digital content. Explain how the material to be included in the project was or will be selected. Describe the additional value that any digital conversion or repurposing will bring to the materials, such as enabling innovative new uses or attracting new audiences. Describe how potential users will discover any new digital material. The application also includes a form, Specifications for Projects That Develop Digital Products, that must be completed and submitted with the application.

## Interoperability

Project design should demonstrate the use of existing standards and best practices for digital material where applicable, and products should be interoperable with other digital content. Grantees creating digital collections are expected to participate in the IMLS Digital Collection Registry currently operated by the University of Illinois at Urbana-Champaign. The Grainger Library has created a registry and a metadata repository of collections digitized with IMLS funding. (See the project site at <http://imlsdcc.grainger.uiuc.edu>.)

## Digitization Plans

Projects that include digital conversion are strongly encouraged to develop a digitization plan before writing the grant application.

## Resources for Digitization Projects

IMLS has published *A Framework of Guidance for Building Good Digital Collections* as a resource for applicants planning digital projects. This document is now maintained by the National Information Standards Organization (NISO) and is available at <http://framework.niso.org/>. The third edition of this document contains links to many Web sites with useful information for planning and implementing digital projects. IMLS offers a wealth of information, including lists of funded digital projects, at the Digital Corner on the IMLS Web site at [www.imls.gov/about/digitalCorner.shtm](http://www.imls.gov/about/digitalCorner.shtm).

The list of resources below, provided to help you learn more about digital projects, is neither exhaustive nor an endorsement by IMLS of any particular resource.

## Training

Many universities, organizations, and businesses provide training in digitization and related topics. The following are examples only—check the general resource lists for leads to more training opportunities and the topic lists below for training resources in specific subject areas.

- [www.library.cornell.edu/preservation/tutorial/contents.html](http://www.library.cornell.edu/preservation/tutorial/contents.html)—*Moving Theory into Practice: Digital Imaging Tutorial*, by Cornell University Department of Preservation and Collections Maintenance.
- [www.solinet.net](http://www.solinet.net)—The Southeastern Library Network offers training in digital imaging, copyright, digital preservation, and other related topics.

- [www.oclc.org/us/en/community/education/regional/usa/](http://www.oclc.org/us/en/community/education/regional/usa/)—OCLC (Online Computer Library Center) provides seminars, workshops, and online training in digital projects, preservation, copyright, and other topics related to digitization.
- [www.nedcc.org/education/introduction.php](http://www.nedcc.org/education/introduction.php)—Northeastern Document Conservation Center.
- [www.imagepermanenceinstitute.org/shtml\\_sub/education.asp](http://www.imagepermanenceinstitute.org/shtml_sub/education.asp)—Image Permanence Institute.
- <http://images.library.uiuc.edu/projects/mym/>—*Metadata for You and Me*, a collaboration between the University of Illinois Library and Indiana University, funded by IMLS.

## General

- [www.bcr.org/cdp/best/index.html](http://www.bcr.org/cdp/best/index.html)—The Collaborative Digitization Program's Web site (born as the Colorado Digitization Project) offers many digitization resources that include information about copyright, metadata, digitization standards, and administrative concerns.
- <http://memory.loc.gov/ammem/about/techIn.html>—*Building Digital Collections: Technical Information and Background Papers*, Library of Congress American Memory Project.
- [www.archives.gov/preservation/technical/guidelines.html](http://www.archives.gov/preservation/technical/guidelines.html)—*Technical Guidelines for Digitizing Archival Materials for Electronic Access: Creation of Production Master Files—Raster Images*, by Steven Puglia, Jeffrey Reed, and Erin Rhodes, U.S. National Archives.
- <http://library.amnh.org/diglib/index.html>—The American Museum of Natural History's Digital Library Project Web site has information on and links to resources on many topics, such as planning, standards, and digital resources management.
- <http://sunsite3.berkeley.edu/imaging>—Digitizing Images and Text, the Berkeley Digital Library portal, links to resources on digitization projects, resources, and tools.
- [www.mainememory.net/cp/cp\\_resources.shtml](http://www.mainememory.net/cp/cp_resources.shtml)—The Maine Memory Network provides guidance and resources for its contributing cultural institutions such as libraries, museums, archives, and historical societies.
- <http://images.library.uiuc.edu/resources/links.htm>—The University of Illinois at Urbana-Champaign Digital Imaging Media Technology Initiative provides resources about many digitization topics, including a listing of current imaging programs, organizations, and committees.
- [www.chin.gc.ca/English/index.html](http://www.chin.gc.ca/English/index.html)—The Canadian Heritage Information Network has information on creating and managing digital content.
- <http://nedcc.org/oldnedccsite/digital/tofc.htm>—The Handbook for Digital Projects: A Management Tool for Preservation and Access, a Northeast Document Conservation Center site, offers nine chapters from a handbook on project management, scanning, copyright issues, technical topics, best practices, vendor relations, and longevity. Includes many links to related sites.
- [www.diglib.org/publications.htm](http://www.diglib.org/publications.htm)—The Digital Library Federation has publications on a range of topics including digital image management and preservation.
- [http://wiki.bibalex.org/DAFWiki/index.php/Main\\_Page](http://wiki.bibalex.org/DAFWiki/index.php/Main_Page)—Bibliotheca Alexandrina provides Digital Assets Factory (DAF) digitization workflow tools.
- [www.asis.org/Bulletin/Jun-04/index.html](http://www.asis.org/Bulletin/Jun-04/index.html)—*The Bulletin of the American Society for Information Science and Technology*, vol. 30, no. 5, June/July 2004, contains a special section about online museum information.
- <http://lists.mdch.org/bin/listinfo/digistates>—DigiStates online discussion list for people working on collaborative statewide projects for the digitization of cultural heritage resources.
- [www.gdfr.info/](http://www.gdfr.info/)—Global Digital Format Registry.
- [www.clir.org/pubs/reports/index.html](http://www.clir.org/pubs/reports/index.html)—Council on Library and Information Resources (CLIR) has published more than 125 reports on topics relating to preservation, digital libraries,



economics of information, trends in information use, international developments, and the changing role of the library.

### Metadata

- [www.niso.org/standards/resources/Metadata\\_Demystified.pdf](http://www.niso.org/standards/resources/Metadata_Demystified.pdf)—*Metadata Demystified*, by Amy Brand, Frank Daly, and Barbara Meyers (Sheridan Press and NISO Press, 2003).
- [www.getty.edu/research/conducting\\_research/standards/](http://www.getty.edu/research/conducting_research/standards/)—*Data Standards and Guidelines*, Getty Standards and Digital Resource Management Program, Getty Research Institute.
- [www.oclc.org/programs/ourwork/past/culturalmaterials/RLG\\_desc\\_metadata.pdf](http://www.oclc.org/programs/ourwork/past/culturalmaterials/RLG_desc_metadata.pdf)—*Descriptive Metadata Guidelines for RLG Cultural Materials*, by the OCLC Research Library Group.
- <http://webservices.itcs.umich.edu/mediawiki/oaibp/?PublicTOC>—*Best Practices for OAI Data Provider Implementations and Shareable Metadata*, by the Digital Library Federation/National Science Digital Library.
- [www.pbcore.utah.edu/PBCore](http://www.pbcore.utah.edu/PBCore)—*PBCore: Public Broadcasting Metadata Dictionary*, for public broadcasters' television, radio, and Web activities.
- [www.loc.gov/standards/](http://www.loc.gov/standards/)—Library of Congress Digital Library Standards.
- [www.diglib.org/standards.htm](http://www.diglib.org/standards.htm)—*Digital Library Standards and Practices*, Digital Library Federation.
- [www.bcr.org/cdp/digitaltb/index.html](http://www.bcr.org/cdp/digitaltb/index.html)—Digital toolbox for the Bibliographic Center for Research's (BCR) Collaborative Digitization Program (CDP).
- [www.openarchives.org/](http://www.openarchives.org/)—Open Archives Initiative, OAI-PMH and OAI-ORE.

### Preservation of Digital Material

- [www.icpsr.umich.edu/dpm/](http://www.icpsr.umich.edu/dpm/)—*Digital Preservation Management: Implementing Short-term Strategies for Long-term Problems*, a tutorial by the Cornell University Department of Preservation and Collections Maintenance.
- [www.dlib.org](http://www.dlib.org)—*D-Lib Magazine* has many articles on preservation of digital materials.
- [www.imls.gov/collections/resources/care\\_dig.htm](http://www.imls.gov/collections/resources/care_dig.htm)—*Care for Collections: Digital Materials*, Connecting to Collections Guide to Online Resources, Institute of Museum and Library Services.
- [www.dcc.ac.uk](http://www.dcc.ac.uk)—Digital Curation Centre.
- [www.ariadne.ac.uk/issue50/pennock-rvw/](http://www.ariadne.ac.uk/issue50/pennock-rvw/)—Review of *Digital Preservation* (edited by Marilyn Deegan and Simon Tanner), *Ariadne*, Issue 50, January 2007.
- [www.digitalpreservation.gov/](http://www.digitalpreservation.gov/)—Digital preservation site of the Library of Congress.
- [www.digitalpreservation.gov/partners/resources/tools/index.html](http://www.digitalpreservation.gov/partners/resources/tools/index.html)—This is a list of tools and services designed, developed, or used by National Digital Information Infrastructure and Preservation Program (NDIIPP) partners during their projects, on the Digital Preservation Web site of the Library of Congress.

### Intellectual Property

- [www.umuc.edu/distance/odell/cip/cip.shtml](http://www.umuc.edu/distance/odell/cip/cip.shtml)—Center for Intellectual Property, University of Maryland University College.
- [www.copyright.iupui.edu](http://www.copyright.iupui.edu)—Copyright Management Center (CMC), Indiana University—Purdue University Indianapolis.
- [www.copyright.cornell.edu/](http://www.copyright.cornell.edu/)—Cornell Copyright Information Center.
- <http://creativecommons.org/>—Creative Commons.
- <http://librarycopyright.net/digitalslider/>—Digital Copyright Slider.
- [www.dfc.org/](http://www.dfc.org/)—Digital Future Coalition.

- [www.digitalpreservation.gov/library/resources/pubs/docs/digital\\_preservation\\_final\\_report2008.pdf](http://www.digitalpreservation.gov/library/resources/pubs/docs/digital_preservation_final_report2008.pdf)—*International Study on the Impact of Copoyright Law on Digital Preservation*, Library of Congress.

### **Universal Access**

- [www.w3.org/WAI](http://www.w3.org/WAI)—The World Wide Web Consortium’s guidance and resources on Web accessibility for people with disabilities.
- <http://trace.wisc.edu/world/web>—The Trace Center’s *Designing More Usable Web Sites* presents resources on universally accessible Web guidelines, compliance with Section 508, and forums for discussing accessibility issues.
- <http://webaim.org/>—WebAIM is a nonprofit organization within the Center for Persons with Disabilities at Utah State University.

# **PREPARING AND SUBMITTING AN APPLICATION**

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# GRANTS.GOV INFORMATION AND INSTRUCTIONS

Organizations that are applying under the February 1, 2009, deadline for the National Leadership 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 February 1. The deadline date remains the same from year to year. Should the deadline fall on a Saturday, Sunday, or federal holiday in a given year, the deadline will be extended to the next business day.

**While the deadline is February 1, 2009, 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](http://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](http://www.grants.gov/applicants/get_registered.jsp)

- **Step 1: Register your organization**
  - Request a D-U-N-S number
  - Register with the Central Contractor Registry (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](http://www.grants.gov/applicants/apply_for_grants.jsp)

- **Step 1: Download a grant application package**

**Use one of the following identifiers to locate the  
National Leadership Grants program package:**

**CFDA No: 45.312  
Funding Opportunity Number: NLG-FY09**

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 February 1, 2009, 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 because of 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 before 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**

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

### **Grants.gov Help**

For direct assistance with Grants.gov, contact the Grants.gov help desk via e-mail at support@grants.gov, or call Grants.gov at 1-800-518-4726 from 7:00 a.m. to 9:00 p.m. eastern time, Monday through Friday, excepting federal holidays.

The Grants.gov help desk will assign a case number to each inquiry. This number only documents the inquiry to the help desk and is in no way related to the tracking number that

Grants.gov will assign to an application once it has been successfully submitted.

Help is also available on the Grants.gov Web site at [www.grants.gov/help/help.jsp](http://www.grants.gov/help/help.jsp).

- User manual for applicants: [www.grants.gov/assets/ApplicantUserGuide.pdf](http://www.grants.gov/assets/ApplicantUserGuide.pdf)
- Frequently asked questions (FAQs): [www.grants.gov/help/faq.jsp](http://www.grants.gov/help/faq.jsp)
  - General FAQs
  - Applicant FAQs
  - Submit Application FAQs
  - Adobe and PureEdge FAQs
- How to convert documents to PDF format: [www.ims.gov/pdf/PDFConversion.pdf](http://www.ims.gov/pdf/PDFConversion.pdf)
- Download PureEdge and/or Adobe software: See Step 1 at [www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp)
- Glossary: [www.grants.gov/help/glossary.jsp](http://www.grants.gov/help/glossary.jsp)
- D-U-N-S help: <http://fedgov.dnb.com/webform/displayHomePage.do>
- D-U-N-S FAQs: <http://fedgov.dnb.com/webform/displayFAQPage.do>
- CCR help:
  - CCR Handbook: [www.ccr.gov/doc/CCR\\_Handbook.pdf](http://www.ccr.gov/doc/CCR_Handbook.pdf)
  - CCR FAQs: [www.ccr.gov/FAQ.aspx](http://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](http://www.ccr.gov/Renew.aspx).

# PREPARING AN APPLICATION

## Application Components

An application requesting funding from the National Leadership Grants program should include the following materials. Each component is in one of the following formats:

- **Grants.gov form:** These forms are available only in the package downloaded from Grants.gov. Applicants will need the PureEdge viewer to fill out these forms.
- **IMLS form:** These forms are available in both Microsoft Word document and fill-in PDF formats, and are located in both the downloaded Grants.gov file and the IMLS Web site. While the Word versions of the forms are provided for convenience, please note that **completed forms must be submitted as PDFs**. For assistance in converting documents to PDF, visit [www.imls.gov/pdf/PDFConversion.pdf](http://www.imls.gov/pdf/PDFConversion.pdf).
- **Text document:** Applicants should create these documents using their own word processing or other software. Again, they **must be attached to the application as PDFs**.

Component	Format
1. Face Sheet: the Application for Federal Domestic Assistance/Short Organizational Form (SF-424s)	Grants.gov form
2. Abstract	Grants.gov form
3. Program Information Sheet	IMLS form
4. Narrative: not to exceed ten pages	Text document
5. Detailed Budget: replicated for each year of the project	IMLS form
6. Summary Budget	IMLS form
7. Budget justification	Text document
8. Schedule of completion	Text document
9. Specifications for Projects That Develop Digital Products (if applicable)	IMLS form
10. Partnership Statement (if applicable)	IMLS form
11. Organizational profile	Text document
12. List of key project staff and consultants	Text document
13. Resumes for key project staff: not to exceed two pages per person	Text document
14. Proof of nonprofit status (if applicable)	Text document
15. Current federally negotiated rate for indirect costs (if applicable)	Text document
16. Supporting documentation (if applicable)	Text document

## Attachments: Naming the Files and Their Sequence

The IMLS forms and text 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. For assistance in converting documents to PDF, visit [www.imls.gov/pdf/PDFConversion.pdf](http://www.imls.gov/pdf/PDFConversion.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	Programinfo.pdf	1
Narrative	Narrative.pdf	2
Detailed Budget form (by year, as appropriate)	Detailedbudgetyear1.pdf Detailedbudgetyear2.pdf Detailedbudgetyear3.pdf	3 4 5
Summary Budget form	Summarybudget.pdf	6
Budget justification	Budgetjustification.pdf	7
Schedule of Completion	Scheduleofcompletion.pdf	8
Specifications for Projects That Develop Digital Products form	Specificationsdigital.pdg	9
Partnership Statement form	PartnerJones.pdf PartnerSmith.pdf PartnerDoe.pdf Etc.	10 11 12 Etc.
Organizational profile	Organizationalprofile.pdf	13
List of key project staff and consultants	Projectstaff.pdf	14
Staff resumes	Resumes.pdf	15
Proof of nonprofit status	Proofnonprofit.pdf	16
Indirect cost rate form	Indirectcostrate.pdf	17
Supporting documentation (numbered, as appropriate)	Supportingdoc1.pdf Supportingdoc2.pdf Supportingdoc3.pdf Etc.	18 19 20 Etc.



## SF-424s (Face Sheet)

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

**Note:** 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 pages 9–10 (“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, item 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 found at <http://zip4.usps.com/zip4/welcome.jsp>.

c. Web Address: Enter the Web address of the legal applicant.

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 National Leadership Grants:

- Individual
- 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 D-U-N-S: All organizational applicants for federal funds must have a D-U-N-S number. Ensure that the number entered here agrees with the number (either 9 or 13 digits) that was used with the Central Contractor Registry (CCR) 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 an applicant 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](http://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. National Leadership Grants projects must begin between October 1, 2009, and December 1, 2009. Start dates must be the first day of a month. 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. **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 (see “IMLS Assurances and Certification,” pp. 48–51). All written correspondence will be addressed to the authorized representative.

The “Signature of Authorized Representative” and “Date Signed” boxes will be populated automatically on submission of the application. Submission of the application by the authorized representative certifies compliance with relevant federal requirements, and that the statements in the application (including, but not limited to, the Partnership Statement) are true, complete, and accurate to the best of the applicant’s authorized representative’s knowledge.

## Abstract

A project abstract not exceeding one single-spaced page (600-word maximum) must be provided. Insert the text into the Abstract form provided in the package downloaded from Grants.gov.

Information in the abstract should cover the following areas as related to the proposed project:

- Who is the lead applicant and who are the formal partners (if applicable)?
- What is the time frame for the project?
- What community need(s) will the project address?
- Who is the intended audience for the activities?
- What will be the project's activities, outcomes, and tangible products?
- What are the intended outcomes for audience members in terms of measurable changes in knowledge, attitudes, or behavior?

This abstract may be used by IMLS for public information purposes, so it should be informative to other persons working in the same or related fields and insofar as possible understandable to a technically literate lay reader. The abstract must not include any proprietary or confidential information.

## **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 library that is part of a parent organization, such as a university, is applying, the university would be the legal applicant, and the library would be entered as the organizational unit. Be sure to include the four-digit extension on the Zip code (Zip+4).

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

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

### **2. Grant Program or Grant Program Category**

Select the appropriate categories listed under "f. National Leadership Grants."

### **3. Request Information**

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

b. Cost Share Amount: Enter the amount here. Applicants must provide cost sharing of at least one half of the total project cost. Research proposals are exempt from this requirement. See also "Award Information" on page 18 for further information.

### **4. Museum Profile (Museum Applicants only)**

Museum applicants to the National Leadership Grants program must answer all questions in this section.

### **5. Partner Names**

In the space provided, list all organizations that are official partners of the project.

### **6–8**

Applicants for national Leadership Grants should skip these sections.

## **Narrative**

Limit the narrative to ten single-sided, single-spaced, numbered pages. The narrative must:

- include the applicant organization's name at the top of each page,
- not exceed the space limits,
- be printable on 8.5- by 11-inch paper,
- have a margin of at least 0.5 inch on all sides,
- use a typeface that contains no more than six lines per vertical inch,
- use a typeface with standard spacing between letters (i.e., do not use a condensed font), and
- have each page numbered.

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. The following section, "Evaluation Criteria," describes the items to be addressed in the National Leadership Grants application narrative. The narrative should explain what need the project will meet, and it should provide sufficient information for reviewers to evaluate all criteria. Applicants must address each question and related criteria separately, and in the order in which they are listed below. Use the criteria section titles in your narrative to guide reviewers in their evaluation. Detailed budget discussion should not be included here, but in the separate budget justification. Planning documents that informed the project design, such as needs assessments or digitization plans, should be included as supporting documentation.

## **Evaluation Criteria**

National Leadership Grants are intended for projects that are innovative and even risk-taking. They are not intended to support basic operational needs.

Successful National Leadership Grants proposals result from careful planning, including identification of a problem, assessment of potential solutions, development of a proposed approach, gathering of key people and resources to test or demonstrate proposed solutions, and a plan to evaluate results. Partnerships among institutions to achieve a broader vision and leverage resources are encouraged in all categories to maximize the impact of federal funding.

Successful proposals demonstrate a clear sense of how projects benefit their communities and contribute to the advancement of the library and/or museum fields. The most competitive projects provide creative solutions to significant problems and develop models for other organizations to adapt or emulate to extend the benefit of federal support.

An idea need not be entirely new to demonstrate leadership potential and have innovative impact. The best proposals may improve on or extend previous work in a significant way. Successful proposals will explain how a proposed project builds on an existing base of knowledge, including previous projects and/or published literature, and how results will benefit the professional community as well as the public. Institutions of all sizes and types are encouraged to develop projects that meet the specific needs of their counterparts across the country.

## **Evaluation Criteria for Advancing Digital Resources, Research, Demonstration, and Library and Museum Collaboration Grants**

### ***Assessment of Need***

Describe the project's intended audience and the audience needs that the project serves. Discuss how the project will benefit this audience either through direct service or through increased knowledge. Explain who will be able to use the model created by this project.

*Evaluation criteria:* Evidence that the applicant has identified an audience, performed a formal or informal assessment of its needs, is aware of similar projects completed by other institutions, and has developed the project and its goals as the best solution to answer those needs.

Research proposals should frame the project in the context of current research and explain what this project will contribute to the library and/or museum fields.

### ***National Impact and Intended Results***

Describe how the project innovatively addresses current issues that concern the library and/or museum fields and will have a lasting impact on the field(s). Describe how the significance of results will be determined.

*Evaluation criteria:* Degree to which the project reflects an understanding of current issues related to library and/or museum services, creatively addresses issues facing museums and/or libraries of similar size or discipline, and envisions change in the field that could result from the project. Degree to which the project is likely to have a far-reaching impact through results or products that serve multiple institutions and constituencies, or evidence that the project is of sufficient scope to effect systemic change within and across organizations. Evidence that the project will create, implement, and document workable models that have the potential for successful, widespread adaptation where appropriate, or will produce far-reaching results. Degree to which project processes or outcomes have potential applications in other settings and are made available so that others may adapt them for their own use. Leadership proposals may carry a risk of failure, but should demonstrate how potential benefits outweigh risks. For projects involving digital collections, in addition to the above, evidence that the project demonstrates interoperability in its broadest context and potential for integration into larger scale initiatives.

For research projects, evidence that the results will be generalizable and useful to the library and/or museum communities.

### ***Project Design and Evaluation Plan***

*Project Design:* Describe the scope of the project, project goals and activities, the planning process, specifics of project implementation, and the expected results. Describe the relationship of the project to any similar projects in the library and/or museum fields.

*Evaluation Plan:* Describe the design, integration, and implementation of an assessment method that will measure project outputs, outcomes, findings, and products.

*Evaluation criteria:* Evidence that the project proposes efficient, effective, and reasonable approaches to accomplish its clear goals and objectives. Evidence that the methodology and design are appropriate to the scope of the project. Evidence that the project uses existing or emerging standards or best practices. Evidence that the evaluation plan ties directly to project goals through measurable project outcomes, findings, or products. Evidence that evaluation will provide reliable information on which to judge impact or base actions.

For research projects, proposals should pose the research questions clearly, explain through the plan of work how the questions will be investigated, how data will be gathered and analyzed, and how results will be evaluated. The proposal should provide evidence that results are likely to be valid, reliable, and generalizable.

***Project Resources: Budget, Personnel, and Management***

Describe institutional responsibilities for the project's implementation and management. Describe personnel who will complete project activities, and discuss their qualifications and commitment to the project activities, particularly if they have other ongoing duties. Discuss the budget allocated to accomplish project activities, including cost sharing. If the project includes a partnership, discuss contributions to and benefits from the project for both the applicant and partner organizations, and explain how information will be shared and decisions will be made.

*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. A cost-efficient budget that uses appropriate resources to fulfill the cost-sharing requirement. Evidence that project personnel demonstrate appropriate experience and expertise and will commit adequate time to accomplish project goals and activities. If the project includes a partnership, evidence that all partners are active contributors to and beneficiaries of the partnership activities.

***Dissemination***

Describe how the library and/or museum fields will be able to learn about the project. Discuss the two parts of dissemination: to the professional field, and to the audience for the project model. Describe how the library and/or museum (professional) fields will be able to learn about the project. Describe how new products and services will reach the audiences described in the first criterion, Assessment of Need. Discuss how communication plans will use a variety of appropriate media to reach appropriate audiences.

*Evaluation criteria:* Extent to which the results, products, models, findings, processes, and benefits of this project will be made transparent and accessible through effective communication channels in the museum and/or library fields, and in other professional organizations and communities, where appropriate. Examples include, but are not limited to, conference presentations, publications, Web sites, and community outlets. Multiple dissemination methods are desirable.

***Sustainability***

Describe how the applicant will continue to support the project or its results and/or the new model beyond the grant period.

*Evaluation criteria:* Extent to which the project's benefits will continue beyond the grant period, either through ongoing institutional support of project activities or products, Web sites, and development of institutional expertise and capacity, or through broad long-term access to project products. Extent to which the project will lead to systemic change within the institution as well as within the museum and/or library fields.

For projects involving digitization and/or software tools, programs, or applications, in addition to the above, the effectiveness of project plans to preserve and sustain the digital products. For more information, please refer to the digital preservation resources listed on page 24.

For research projects, the extent to which project findings are made broadly accessible and enter into the knowledge base of the library and/or museum fields.

## **Evaluation Criteria for Collaborative Planning Grants**

### ***Assessment of Need***

Degree to which the project to be planned will benefit the intended audience.

### ***National Impact and Intended Results***

Degree to which the planning will result in a project likely to have a significant impact on current issues in the field.

### ***Project Design and Evaluation Plan***

Degree to which the planning tasks are likely to result in clearly articulated goals and objectives for the planned project. Evidence of an effective planning process that appropriately involves all partners.

### ***Project Resources: Budget, Personnel, and Management***

Degree to which the budget, personnel, and management are sufficient to accomplish the specified planning tasks.

***Dissemination and Sustainability Criteria do not need to be answered by Collaborative Planning Grant applicants.***

## **Budget**

The application requires three elements to describe the costs of a proposed project:

1. Detailed Budget
2. Summary Budget
3. Budget justification

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, which is referenced and explained below.

Applicants requesting funding from the National Leadership Grants program must provide cost sharing of at least one half of the total project cost if the request is more than \$250,000. Research proposals are exempt from this requirement. See also "Award Information" on page 18 for further information.

### **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 form can fill out the form for one year, save it, and 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 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. 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. All applicants are expected to include the costs of evaluation, reporting, and dissemination in their project budget. These costs may be for consultants or staff, development of instruments, information collection, analysis, reporting, and/or disseminating project information by a variety of means. 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: Applicants must include \$2,000 per year for travel to attend IMLS-designated meetings. For partnership projects, include \$4,000 per year for such 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 as part of the budget justification. If there is more than one contractor, list the cost of each contract separately on the IMLS budget form and attach a separate itemization to the budget justification for each contractor.
7. Student Support: Applicants for National Leadership Grants should skip this section.
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 explained in the budget justification.



9. Total Direct Costs: The subtotal amounts from the previous eight sections will automatically fill in.
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 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.

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 such distorting costs 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.

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. 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.

## **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 SF-424s 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 the next page in these guidelines for an example.

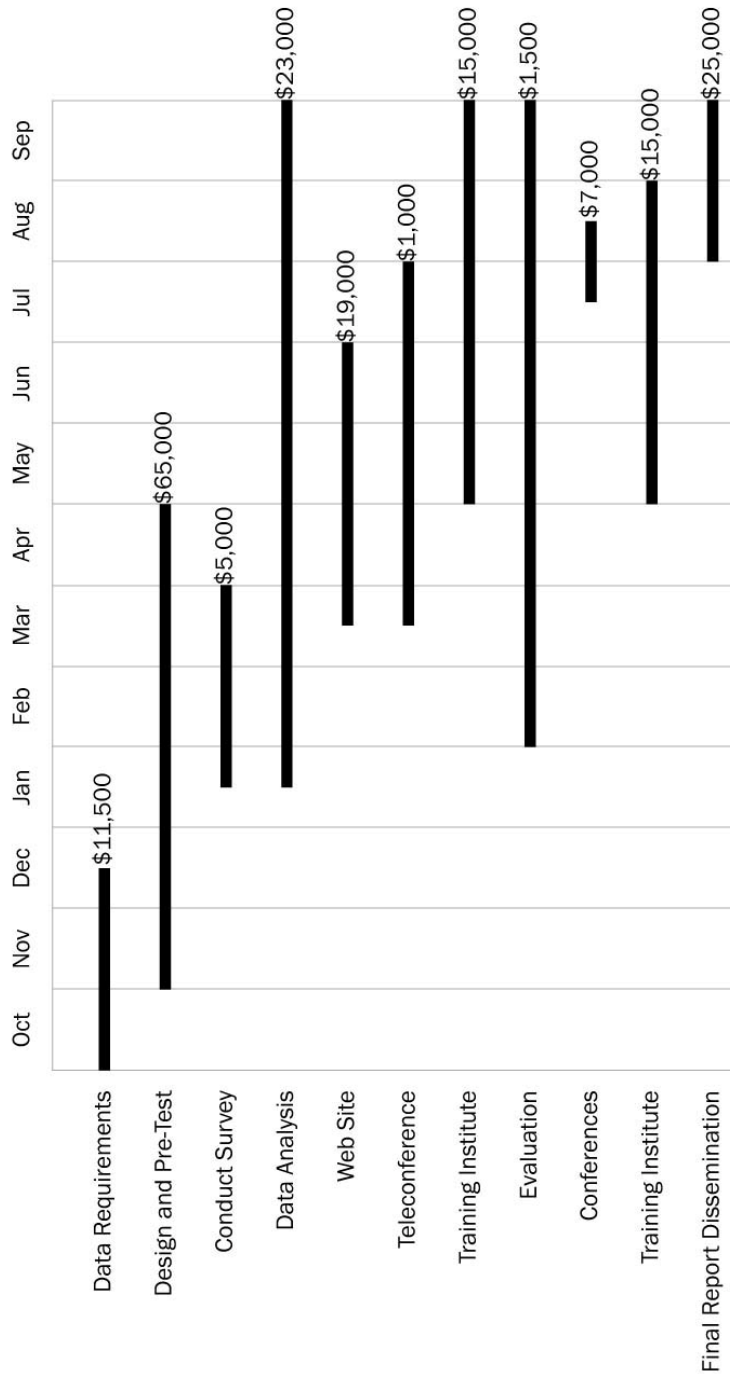
## **Specifications for Projects That Develop Digital Products**

For a list of resources on digitization projects that may help applicants complete this form, see pages 22–25. This list is intended to assist applicants in learning more about digitization projects and is neither exhaustive nor an endorsement by IMLS of any particular resource.

If there is not enough space on the form to provide complete answers to the questions, please copy the questions to a separate document, answer them fully, and incorporate the document (clearly named so as to be identifiable) into the supporting documentation portion of the application.

## Sample Schedule of Completion

This is a sample format for a Schedule of Completion. 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, the date each activity begins and ends, and the amount of IMLS grant funds to be expended for each activity. 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. The total amount of IMLS funds listed for each activity must equal the total amount of direct project costs requested from IMLS.



## **Part I**

Complete the appropriate sections. Select box A, B, C, or any combination of these boxes, depending on the original material the applicant will be working with and the digital products that will be developed.

### ***Box A. Converting Non-Digital Material to Digital Format***

- A1 Explain the types of original non-digital materials to be selected for digitization, such as text, photographs, three-dimensional art objects, archaeological artifacts, maps, motion pictures, and video, and give the quantity of each type. For audio, video, and motion picture materials, give the total number of minutes or hours to be digitized. Describe the original format of each type of material to be digitized.
- A2. Identify all use or access restrictions covering the original material to be digitized. Check the intellectual property condition and give the corresponding percentage of the original material to be digitized that is subject to restrictions.
- A3. Describe the terms of access and use that will apply to the newly digitized material being created by the project. Identify and explain any restrictions that will apply to the digitized material, and specify what percentage if any of the total material will be subject to restrictions. Examples are copyright, no downloading, and registration.
- A4. Explain what equipment and software will be used and include specifications that are relevant to the work of the project (e.g., cameras with zoom capability, scanners, servers, motorized object rigs). Equipment and software must be described, whether the digitization will be completed in-house or outsourced to a contractor or partner.

### ***Box B. Repurposing Existing Digital Content***

- B1. Explain the original materials whose digital form will be repurposed, such as digital text (e.g., oral history transcripts), photographs, video, audio, and Web files, and give the number of each type. Describe the digital format and the amount of material to be repurposed.
- B2. Identify copyright and other potential restrictions with regard to the original digital material. Check the intellectual property condition and give the corresponding percentage of the digital material to be repurposed.
- B3. Describe the terms of access and use of the repurposed digital material. Identify and explain any restrictions that will apply to the repurposed digital material, and specify what percentage if any of the total material will be subject to restrictions. Examples are copyright, no downloading, and registration.
- B4. Explain what equipment and software will be used and include specifications that are relevant to the work of the project. Equipment must be described whether the repurposing will be completed in-house or outsourced to a contractor or partner.

### ***Box C. Creating New Digital Content***

- C1. Explain the types of digital content to be created, such as digital text (e.g., oral history transcripts), photographs, video, audio, and Web files, and give the quantity of each type.

- C2. Describe the plan to obtain releases/permissions from project content creators (e.g., filmmakers) and subjects (e.g., oral history interviewees).
- C3. Describe the disposition of ownership of the new product. Describe how the new product will be made available to the public. Explain the terms of access and conditions of use. Identify and explain any restrictions that will apply to the new product, and specify what percentage if any of the total material will be subject to restrictions.
- C4. Explain what equipment and software will be used and include specifications that are relevant to the work of the project (e.g., camera, audio recording equipment, video recording equipment, encoding software, server). Equipment must be described whether the content will be created in-house or outsourced to a contractor or partner.

## **Part II**

Answer all questions.

5. Specify the file formats to be produced and the anticipated quality of each format (e.g., minimum resolution, depth, tone, pixel dimensions, file size, sampling rate, compression ratio, frames per second). If watermarks or other features will be used, explain. Provide information for Master, Access, and Thumbnail versions.
6. Describe the medium that will be used to deliver the digital material (e.g., Internet streaming or download, broadcast, DVD).
7. Describe the underlying software to manage and/or present the content (e.g., DSpace, Fedora, ContentDM).
8. Describe the plan for ensuring the technical quality of the digital product.
9. Explain how descriptive and administrative metadata will be produced and used to describe and manage the content. Include the standards that will be used for data structure, content (e.g., thesauri), protocols, preservation and administrative information, and communication of the content (e.g., MARC, EAD, Dublin Core, PBCore, VRA Core Categories, or Categories for the Description of Works of Art).
10. Describe plans for preserving and maintaining the digital material during and after the grant period. The plan should cover storage systems and media to be used, migration plans, maintenance responsibilities, and commitment of institutional funding support.
11. If content will be provided on the Internet, indicate agreement to submit collection level records for digital products to the IMLS Digital Collection and Content Registry. State reasons for selecting alternative approaches.
12. Provide URL(s) for applicant's previously digitized collections, if applicable. If the proposed digital collection will differ substantially in look and feel from collections previously digitized, explain what the differences will be.

## **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., PartnerCornell or PartnerNOMA. Then attach each document to the application following the sequence indicated in “Application Components (see p. 30).

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

### **1–5**

Provide all of the information requested for the partner organization. If the partner organization does not have a D-U-N-S number, refer the partner to page 17 within these guidelines for information and instructions on how to secure one. To obtain a full Zip+4 postal code, visit <http://zip4.usps.com/zip4/welcome.jsp>.

### **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 this form will be made available to IMLS on request.

### **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.

### **List of Key Project Staff and Consultants and Resumes for Key Project Staff**

Provide a list of the key project staff and the consultants who will be directly involved in the program.

Add resumes or curriculum vitae of no more than two pages each for all key personnel (both staff and consultants). 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. Because application reviewers rely on resumes to determine the project's potential for success, if the personnel have not been chosen, the application may be at a competitive disadvantage.

### **Proof of Nonprofit Status**

If the applicant's organization is a private, nonprofit organization (for those who selected “Private Nonprofit” or “Other” in item 5d of the SF-424s):

- The applicant must submit a copy of the IRS letter indicating the organization's eligibility for nonprofit 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 nonprofit status.

### **Federally Negotiated Indirect Cost Rate Agreement**

If the applicant institution has a federally negotiated indirect cost rate agreement that will be current at the time the project begins, then submit this document with the application and claim the approved rate agreement on the IMLS budget forms.

### **Supporting Documentation**

Supporting documentation comprises documents that specifically relate to the justification for the project. IMLS recommends including relevant supporting documentation (e.g., needs assessments, digitization plans, letters of support) for the specific project applied for, being careful to ensure that the included material is directly relevant to the proposed project. Do not overburden the reviewers with unnecessary materials.

Where possible, within the application narrative provide Web links to relevant online materials in lieu of attaching supporting documentation.

When attaching these documents, give each one a specific title that clearly identifies what type of document it is. Applicants are encouraged to create multipage documents that include multiple attachments, when possible (e.g., combine all letters of support into a single attachment).

All supporting documentation should include dates of creation and authorship.

**IMLS ASSURANCES AND  
CERTIFICATION**

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

### **Assurances Statement**

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

[Note: IMLS debarment and suspension (nonprocurement) regulations are being relocated from 45 CFR Part 1185 to 2 CFR Part 3185.]

### **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) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

### **Drug-Free Workplace**

The authorized representative, on behalf of the applicant, certifies, as a condition of the award, that the applicant will or will continue to provide a drug-free workplace by complying with the requirements in 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.

### **Certification Regarding Lobbying Activities (Applies to Applicants Requesting Funds in Excess of \$100,000)**

The authorized representative certifies, to the best of his or her knowledge and belief, that:

- (a) no federal appropriated funds have been paid or will be paid by or on behalf of the authorized representative to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the

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

### **General Certification**

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

### **Native American Human Remains and Associated Funerary Objects**

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native

American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

### **Historic Properties**

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

### **Environmental Protections**

The authorized representative, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and E.O. 11514;
- (b) notification of violating facilities pursuant to E.O. 11738;
- (c) protection of wetlands pursuant to E.O. 11990, as amended by E.O. 12608;
- (d) evaluation of flood hazards in floodplains in accordance with E.O. 11988, as amended;
- (e) assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.);
- (f) conformity of federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531–1543).

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

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

### **Research on Human and Animal Subjects**

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

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

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



INSTITUTE of  
**Museum and Library**  
SERVICES

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*Washington, DC 20036-5802*

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