



INSTITUTE of
Museum and Library
SERVICES

2009

Native American Library Services

Grant Program Guidelines
CFDA No. 45.311

Application Deadlines:

Basic Grants: March 2, 2009

Enhancement Grants: May 1, 2009

Applicants must apply through Grants.gov

(see www.ims.gov/grantsgov for more information).

FOR MORE INFORMATION, CALL OR WRITE:

Native American Library Services Program Staff

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Web site: www.imls.gov

TTY (for hearing-impaired persons): Call 202/653-4614.

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; 30 minutes per response for the Basic Grant budget forms; 3 hours per response for the Detailed Budget and Summary Budget; and 1 hour for the Specifications for Projects That Develop Digital Products form. Send comments 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

On behalf of the Institute of Museum and Library Services (IMLS), I am pleased to present the 2009 Native American Library Services grant guidelines. Federally recognized tribes and Alaska Native villages and corporations may apply for these grants in either the Basic, Basic with Education/Assessment Option, or Enhancement Grant categories. The noncompetitive Basic Grants are designed to support traditional core library services in tribal communities across the country. The competitive Enhancement Grants are awarded to Indian tribes and Alaska Native villages and corporations to support exemplary projects designed to enhance library services to their communities and to serve as model projects for others.

In 2008, IMLS supported 209 libraries with Native American Library Services Basic Grants and an additional 15 libraries with Enhancement Grants, for a total of \$3.1 million. These grants funded myriad programs, from expanding and enhancing library services for senior and disabled community members to initiating a project to digitize, translate, and transcribe native audio and video recordings. This year, we hope to serve even more libraries with this important grant program.

I invite you to read over these guidelines, contact IMLS staff with any questions you might have, and consider applying for funding. We look forward to hearing from you.

Sincerely,

A handwritten signature in blue ink that reads "Anne-Imelda M. Radice". The signature is fluid and cursive, with the first name being the most prominent.

Anne-Imelda M. Radice, PhD
Director

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GENERAL INFORMATION

ABOUT THE INSTITUTE OF MUSEUM AND LIBRARY SERVICES

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

The Institute supports the full range of museums, including art, history, science and technology, children's, natural history, historic houses, nature centers, botanical gardens, and zoos; and all types of libraries, including public, school, academic, research, and archival. Our robust capacity for research, evaluation, policy analysis, grantmaking, and partnerships 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 NATIVE AMERICAN LIBRARY SERVICES GRANT PROGRAM

The Institute of Museum and Library Services is pleased to invite applications for the 2009 Native American Library Services grant program. These guidelines reflect recognition of a history of sound service by the precursor to this program within the U.S. Department of Education, the expressed needs of former program participants, and the opinions of representatives of Indian tribes and Alaska Native villages.

The Native American Library Services grant program marks new opportunities for improved library services for an important part of the nation's community of library users. The IMLS Native American Library Services grant program offers the following types of support to serve the range of needs of Indian tribes and Alaska Native villages.

Basic Grants and Basic Grants with Education/Assessment Option

Basic Grants are available to support existing library operations and to maintain core library services. The purposes of the Education/Assessment Option are to provide funding for library staff to attend library-related continuing education courses and training workshops on- or offsite; for library staff to attend or give presentations at conferences related to library services; and to hire a consultant for an onsite professional library assessment.

Enhancement Grants

Enhancement Grants support activities to advance the applicant library's operations to new levels of service for activities specifically identified in the Library Services and Technology Act. These competitive grants are intended to encourage the implementation of both mainstream and innovative library practices.

OF NOTE FOR FISCAL YEAR 2009

The guidelines and sample long-range plan format have been revised since 2008. Use only the 2009 guidelines and long-range plan format for your application.

Online submission through Grants.gov is required. Mailed applications will not be accepted. Applications must be submitted by an authorized organizational representative of an eligible federally recognized tribe. Tribal libraries and other entities administering Native American Library Services grants should coordinate with tribal authorized representatives concerning the Grants.gov application process. Applications that are not submitted by an eligible tribe through Grants.gov will not be accepted. Do not wait until the grant deadline to submit your application in case there are any delays in the submission process. See pages 17 and 37 for further information.

ELIGIBILITY

Indian tribes and Alaska Native villages and corporations are eligible to apply for funding under the Native American Library Services grant program. Entities such as libraries, schools, tribal colleges, or departments of education are not eligible applicants, although they may be involved in the administration of this program and their staff may serve as project directors, in partnership with an eligible applicant.

For purposes of funding under this program, “Indian tribe” means any tribe, band, nation, or other organized group or community, including any Alaska Native village, regional corporation, or village corporation (as defined in or established pursuant to the Alaska Native Claims Settlement Act [43 U.S.C. § 1601 et seq.]) that is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Eligible entities, except for the recognized regional corporations and village corporations, are listed on the Bureau of Indian Affairs Web site in the Tribal Leaders Directory—Winter 2008 (<http://www.doi.gov/bia/docs/TLD-Final.pdf>, see Section 6). (Alaskan entities should refer to applicable provisions in the Alaska Native Claims Settlement Act, referenced above.)

Two or more Alaska Native villages, regional corporations, or village corporations may not receive Basic Grants to serve the same population.

If a tribe has several bands, colonies, rancherias, communities, or other organizational entities listed in parentheses following the tribe’s name on the Department of Interior’s list of federally recognized tribes, only one of those entities may receive a grant in the same grant category (Basic Grant with Education/Assessment Option or Enhancement Grant) in a fiscal year. For example, if a tribe has four bands, only one band may apply for a Basic Grant or Basic Grant with Education/Assessment Option in a fiscal year. However, one band may apply for the Basic Grant or Basic Grant with Education/Assessment Option, while another band from that same tribe may apply for an Enhancement Grant. It is the responsibility of the tribal chief executive to determine which entity will apply for each grant.

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.ims.gov) examples of successful application narratives for the Native American Library Services 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 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[®]) 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. 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.

**BASIC GRANT AND
BASIC GRANT WITH EDUCATION/ASSESSMENT OPTION**

ABOUT BASIC GRANTS

Application Deadline: March 2, 2009

Basic Grants are available to support existing library operations and to maintain core library services. Basic Grants are for one year and cannot be extended. A new application is required every fiscal year.

Applicants will be required to document ongoing levels of library service in the "Institutional Profile" section of the application (see Program Information Sheet, item 7). At a minimum, an applicant should be able to document an existing library that meets three basic criteria: (1) regularly scheduled hours, (2) staff, and (3) materials available for library users.

Funds may be used to

- expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages,
- develop library services that provide all users with access to information through local, state, regional, national, and international electronic networks,
- provide electronic and other linkages between and among all types of libraries,
- develop public and private partnerships with other agencies and community-based organizations,
- target library services to help increase access and ability to use information resources for individuals of diverse geographic, cultural, and socioeconomic backgrounds, individuals with disabilities, and individuals with limited functional literacy or information skills, and
- target library and information services to help increase access and ability to use information resources for persons having difficulty using a library and for underserved urban and rural communities, including children from birth to age 17 from families with incomes below the poverty line (as defined by the Office of Management and Budget).

Basic Grants are noncompetitive grants to eligible tribes and Alaska Native villages or corporations, to be distributed in equal amounts among all eligible applicant tribes.

The Education/Assessment Option provides funding for library staff to attend library-related continuing education courses and training workshops on- or offsite; for library staff to attend or give presentations at conferences related to library services; and to hire a consultant for an onsite professional library assessment.

AWARD INFORMATION

Duration of a Grant

The grant period begins October 1, 2009, and ends September 30, 2010. Grants are for one year; no extensions are allowed. A new application is required each fiscal year. An Indian tribe may receive only one Basic Grant in a fiscal year. Two or more Alaska Native villages, village corporations, or regional corporations may not receive Basic Grants to serve the same population.

Grantees are expected to complete work on grant activities by the end of the grant period. It is therefore the policy of this program that grant periods will not be extended and that grant funds that are not obligated by the end of the grant period must be returned to IMLS. **A final performance report must be submitted to IMLS no later than December 29, 2010.**

Amount of Grant

The estimated Basic Grant award for FY 2009 is \$5,000. The estimated Basic Grant with Education/Assessment Option award amount is \$6,000, which includes the \$5,000 Basic Grant and a supplemental amount of \$1,000 for eligible education and assessment activities. The final amounts will be determined after all applications have been received and eligibility has been determined. **No cost share is required.**

Use of Funds

Basic Grant funds may be used for such costs as

- salary for library personnel,
- materials, supplies, and equipment (including books, journals, electronic resources, library supplies, furniture, computers and other equipment),
- services (computer- or library-related consultants, training of library personnel in addition to or in lieu of training funds requested under the Education/Assessment Option), and
- other items such as Internet access charges and fees for participation in networks and consortia that provide the library with direct services.

Education/Assessment Option funds may be used

- for library staff to attend library-related continuing education courses and training workshops on- or offsite,
- for library staff to attend or give presentations at conferences related to library services, and
- to hire a consultant for an onsite professional library assessment.

All grant activities, such as programming, assessments, conference travel, and workshops, must be completed by September 30, 2010. Funds for library materials and equipment must be obligated by September 30, 2010, and paid by 90 days after the end of the award period, which is December 29, 2010. Funds may *not* be transferred from the Part B Education/Assessment Option to Part A to supplement core library services.

If Education/Assessment Option funds remain after planned grant activities are completed, the remaining funds may be used to enhance library services based on knowledge gained through professional development or consultants' recommendations

(for example, additional library materials or new computer technology) as long as the funds are spent or obligated by the end of the grant period.

Limits on Use of Funds

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, pre-grant costs, or indirect costs. Government-wide cost principles apply.

Maintenance of Effort

The Basic Grant is not intended to replace funds allocated for library services by the tribe. An Indian tribe receiving a Basic Grant should expend the same amount for library services, exclusive of the grant amount, during the grant period that was expended in the 12-month period immediately preceding the grant period.

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 in June 2009.

Payment, Accounting, Management, and Reporting Procedures

A federal accounting office handles the payment of Native American Library Services grants. Payments will be made electronically after recipients return the SF-3881, Automated Clearing House (ACH) Payment Enrollment Form, and SF-270, Request for Advance or Reimbursement. The ACH form and SF-270 may be submitted as early as two weeks prior to the start of the grant period, but no later than 90 days after the close of the grant period.

IMLS requires grant recipients to maintain a restricted account for funds received during the grant period. Recipients do not need to maintain a separate bank account for IMLS funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that IMLS funds have been used for eligible grant 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.

IMLS will establish final reporting requirements. A grantee that does not submit the final report by the due date will jeopardize its eligibility to receive future IMLS grants. Any funds that have not been obligated within the grant period and expended within 90 days after the close of the grant period must be returned to IMLS. A final performance report must be submitted no later than December 29, 2010.

PREPARING AND SUBMITTING A BASIC GRANT APPLICATION

GRANTS.GOV INFORMATION AND INSTRUCTIONS

Organizations that are applying under the March 2, 2009, deadline for the Native American Library Services Basic Grant 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 March 2.

IMPORTANT INSTRUCTIONS FOR BASIC GRANT APPLICANTS:

An eligible Indian tribe or Alaska Native village or corporation (see p. 9 for definitions and eligibility requirements) must submit the application for the Basic Grant through Grants.gov with the electronic signature of an authorized organization representative (AOR) of the tribe. Tribal libraries and other entities administering the Basic Grant should coordinate with a tribal AOR concerning the Grants.gov application process. Applications that are not submitted by an eligible Indian tribe or Alaska Native village or corporation through Grants.gov will not be accepted.

While the deadline is March 2, 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

- **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

(Applies only to the tribe or Alaska Native village/corporation that is the eligible applicant)

- **Step 1: Register your organization**
 - Request a D-U-N-S number
 - Register with the Central Contractor Registry (CCR) (must be renewed every 12 months)
 - Organization registration checklist
- **Step 2: Register an authorized organization representative (AOR)**
- **Step 3: Get the registered AOR authorized by the eligible organization**

Apply for Grants

www.grants.gov/applicants/apply_for_grants.jsp

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

**Use one of the following identifiers to locate the
Native American Library Services Basic Grant application package:**

**CFDA No: 45.311
Funding Opportunity Number: NAG-BASIC-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") and the Attachments form.

- **Step 2: Complete the grant application package**

- **Step 3: Submit the completed grant application package**
(Applies only to the tribe or Alaska Native village/corporation that is the eligible applicant)

Important deadline information: Applications must be received by 11:59 p.m. on March 2, 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.

A third email message will be sent by Grants.gov when the application is retrieved by the grantor agency.

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.

- User manual for applicants: www.grants.gov/assets/ApplicantUserGuide.pdf
- Frequently asked questions (FAQs): 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
- Download Adobe Acrobat software: See Step 1 at www.grants.gov/applicants/apply_for_grants.jsp. For optimal performance, Grants.gov recommends using Adobe Acrobat version 8.1.3.
- Glossary: 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
 - CCR FAQs: www.ccr.gov/FAQ.aspx

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

PREPARING AN APPLICATION

Application Components

An application requesting funding from the Native American Library Services Basic Grant program must include the materials listed below. 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 Adobe Acrobat viewer, preferably version 8.1.3, 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.
- **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. Program Information Sheet	IMLS form
3. Part A—Project Budget for 2009 Basic Grant	IMLS form
4. Part B—Project Budget for 2009 Education/Assessment Option (if applicable)	IMLS form
5. Long-range plan	Text document

Incomplete applications will not be considered for funding. IMLS will determine whether an application is complete.

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.

Append all of the documents to the Attachments form in the prescribed sequence. If there are 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) is a Grants.gov form that will automatically be saved as a PDF. The table below is for all of the other application components that are appended to the Attachments form.

Document	File name to use	Attach in this order
Program Information Sheet	Programinfo.pdf	1
Part A—Project Budget for 2009 Basic Grant	Basicbudget.pdf	2
Part B—Project Budget for 2009 Education/ Assessment Option (if applicable)	Optionbudget.pdf	3
Long-range plan	Longrangeplan.pdf	4

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 page 9 for eligibility details.

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 box next to “Indian/Native American Tribal Government (Federally Recognized).”

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 and use the “Find Your Representative” tool.

6. Project Information

a. Project Title: Enter “2009 Basic Grant” or “2009 Basic Grant with Education/Assessment Option,” as appropriate.

b. Project Description: Enter “2009 Basic Grant” or “2009 Basic Grant with Education/Assessment Option,” as appropriate.

c. Proposed Project Start Date/End Date: Enter “October 1, 2009” and “September 30, 2010,” respectively.

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). **The project director should not be the same person as the authorized representative.**

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. 55–59). 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.

Program Information Sheet

1. Applicant Information

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

b. and c. Organizational Unit and Address: Enter the name and address of the library that will administer the grant, if different from the applicant. 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 box for “Native American Tribe/Native Hawaiian Organization.”

2. Grant Program or Grant Program Category

Select one of the categories listed under “g. Native American/Native Hawaiian Library Services.”

3. Request Information

a. IMLS Funds Requested: Enter the amount sought from IMLS—either \$5,000 for the Basic Grant or \$6,000 for the Basic Grant with Education/Assessment Option.

b. Cost Share Amount: Applicants for Basic Grants should skip this item.

4–6

Applicants for Basic Grants should skip these sections.

7. Institutional Profile

Please provide complete information for all items (a through j) in this section.

For (i.), “Supported Activities,” check all applicable boxes next to the activities that will be supported by the grant. These activities are the focus of the Library Services and Technology Act (LSTA) and are not listed in priority order.

For (j.), “Maintenance of Effort,” check the one box that most appropriately corresponds to the applicant tribe’s level of maintenance of effort for library services in the past year. IMLS Native American Library Services grants are not intended to replace funds allocated for library services by the tribe. A tribe receiving an IMLS Native American Library Services grant should expend the same amount for library services during the grant period (excluding the grant amount) that was expended in the 12-month period immediately preceding it.

8. Applicants for Basic Grants should skip this section.

Budget

The Budget forms are available on the IMLS Web site and on Grants.gov.

Part A—Project Budget for 2009 Basic Grant

Prepare a Basic Grant project budget based on the total amount of \$5,000, no more and no less. Spending categories include library personnel; materials, supplies, and equipment; services (e.g., consultants, trainers, storytellers); and other items such as Internet and consortium fees. No indirect costs are permitted. See the sample project budget at the bottom of the form for guidance.

Part B—Project Budget for 2009 Basic Grant Education/Assessment Option

If the Education/Assessment Option is being requested, prepare an Education/Assessment Option project budget for \$1,000, no more and no less. Spending categories include library-related continuing education and training for library personnel, travel to conferences, and onsite

professional library assessment. No indirect costs are permitted. See the sample project budget at the bottom of the form for guidance.

Long-Range Plan

To help ensure that library services meet current local needs, and to help applicants develop strategies to build services that will be needed in the future, IMLS requires that the applicant submit a long-range plan (formerly called a three-year plan) with the application.

A long-range plan is required each year that a Basic Grant application is submitted. The submission of a long-range plan does not imply automatic funding for the years covered in the plan, nor does it imply the availability of grant funds past the stated grant period.

The long-range plan submitted in 2009 must cover the period October 2009–September 2012.

The long-range plan must state the library's mission and goals, and the programs and activities that will be implemented to achieve those goals. The long-range plan should include an evaluation plan that will demonstrate progress toward reaching the library's goals. Visit the IMLS Web site at www.imls.gov/pdf/09_longrangeplan.pdf to see a sample plan and a glossary of terms. Use the outline below to create a long-range plan.

1. Mission statement
2. Statement of need #1
 - a. Assessment of need
 - b. Expected outcome
 - b. Project goal(s)
 - d. Project design and required resources, including:
 - Activities, services, and products (outputs); and
 - Resources needed to succeed (inputs); and
 - Proposed timeline for grant activities
 - e. Evaluation methods
 - (1) Output targets
 - (2) Outcome targets
3. Statement of need #2
 - a. Assessment of need
 - b. Expected outcome
 - c. Project goal(s)
 - d. Project design and required resources, including:
 - Activities, services, and products (outputs); and
 - Resources needed to succeed (inputs); and
 - Proposed timeline for grant activities
 - e. Evaluation methods
 - (1) Output targets
 - (2) Outcome targets

Additional needs statements as appropriate

In addition, the document must

- include the applicant organization's name at the top of each page,
- have a margin of at least 0.5 inch on all sides,
- have each page numbered, and

- use a 12-point typeface or larger with no more than six lines per vertical inch and standard spacing between the letters. Condensed fonts or handwritten documents are not acceptable.

IMLS supports and encourages the use of an evaluation tool called outcome-based evaluation (OBE). This system of measuring results replaces the question, “What activities did we carry out?” with the question, “What changed as a result of our work?” A focus on measuring outcomes—the effect of an institution’s activities and services on the people it serves—rather than on the services themselves (outputs) is an emerging keystone of library programs. Additional information about OBE is available on the IMLS Web site at www.imls.gov/applicants/obe.shtm or on request from IMLS. See also “Shaping Outcomes: Making a Difference in Libraries and Museums,” an online tutorial, at www.shapingoutcomes.org/.

ENHANCEMENT GRANT

ABOUT ENHANCEMENT GRANTS

Application deadline: May 1, 2009

A tribe must submit a Basic Grant application in the same fiscal year to be eligible to apply for an Enhancement Grant. See page 9 for full information on eligibility.

Enhancement Grant projects may enhance existing library services or implement new library services, particularly as they relate to the goals of the Library Services and Technology Act (LSTA) listed here:

- to expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages,
- to develop library services that provide all users with access to information through local, state, regional, national, and international electronic networks,
- to provide electronic and other linkages between and among all types of libraries,
- to develop public and private partnerships with other agencies and community-based organizations,
- to target library services to help increase access and ability to use information resources for individuals of diverse geographic, cultural, and socioeconomic backgrounds, individuals with disabilities, and individuals with limited functional literacy or information skills, and
- to target library and information services to help increase access and ability to use information resources for persons having difficulty using a library and for underserved urban and rural communities, including children from birth to age 17 from families with incomes below the poverty line (as defined by the Office of Management and Budget).

AWARD INFORMATION

Duration of a Grant

Applicants may request either a one- or two-year grant. Once the grant is awarded, funds must be expended within the specified grant period. The grant period begins no earlier than October 1, 2009, and no later than December 1, 2009. Grantees may begin project activities any time during October, November, or December 2009, but the grant period will start on the first day of the month in which project activities are undertaken and end on the last day of the month in which project activities are completed.

The tribal authorized representative may submit a request for a one-time, no-cost extension of the grant period to the program officer. A request for an extension must be made in writing no later than 30 days before the end of the grant period and should explain in detail the reason for the request. Grantees are cautioned that extensions are not automatic, and should not be requested solely because all of the award funds have not been expended.

Amount of Grant

An applicant may request up to \$150,000, whether the grant period is one or two years. IMLS will review and negotiate budgets as necessary. IMLS may award an amount less than that requested by an applicant.

Use of Funds

Enhancement Grant funds may be used only for costs directly related to the enhancement project, such as costs for salaries for library personnel, library materials (including books, journals, electronic resources, and equipment), library project supplies, furnishings, telecommunication services and equipment, and fees for participation in networks and consortia that provide the library with direct services. General office supplies are considered indirect costs and should not be requested as direct costs. No more than 15 percent of the granted funds may be used for indirect costs, unless the applicant has a current, federally negotiated indirect cost rate. Government-wide cost principles apply.

IMLS expects that funds will support projects that provide services to the public. If a tribe is requesting funding for services or materials to which access is restricted, it must submit its access policy with the application, explaining what percentage of materials would be restricted and providing a justification for the restricted access.

Limits on Use of Funds

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, or pre-grant costs. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide cost principles apply.

Limits on Funding

An Indian tribe may submit only one application for an Enhancement Grant in a fiscal year. A grantee receiving a two-year Enhancement Grant from IMLS may not apply for another Enhancement Grant covering the second year of the first grant. For example, if a tribe received

a two-year Enhancement Grant in FY 2008, it may not apply for another Enhancement Grant until FY 2010.

Cost Sharing

Cost sharing is encouraged but not required in this program. 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.

IMLS does not allow federal funds to be used for cost sharing. The limitation on using federal funding as cost share applies to salaries, equipment, services, etc., funded by federal dollars. If personnel or resources funded by federal dollars are a part of the project design and/or management plan, their role may be described in the application narrative.

All cost-sharing expenses must be incurred during the grant period, not before or after. Tribes must maintain documentation of cost sharing for reporting purposes to IMLS. In-kind contributions may be used for cost sharing if they specifically relate to the Enhancement Grant project. If any funds are to be contributed as cost share by sources other than the applicant or its official partners, the applicant must identify whether the commitment of funds is assured or pending. If the funds are assured, the applicant should include a letter from the source affirming its commitment. If the funds are not assured, the applicant should describe its plan for meeting the promised cost share from other sources in the event that the pending funds are not received. Government-wide uniform administrative rules and requirements apply, including 45 C.F.R. Part 1183, as applicable.

Cost sharing may comprise:

- cash contributions: funds allocated directly to the project by the applicant or a third party, and
- in-kind contributions: the value of noncash contributions provided by the applicant or a third party, e.g., staff time (if salaries are not paid with federal funds), volunteer time, materials and supplies, and services.

Indirect costs may be used as cost sharing. Indirect costs, often referred to as overhead costs, are not attributable to a specific project or activity of an organization. Costs such as rent (if space is owned by the tribe), utilities, and insurance are considered indirect costs and will not be accepted as direct costs requested from IMLS, or as part of direct cost in-kind contributions if an indirect cost rate or the 15 percent administrative fee is charged to the project.

Maintenance of Effort

Although cost sharing is not required in this program, IMLS requires that organizations maintain their previous funding efforts and demonstrate that federal funds will enhance rather than replace tribal funding for library services. Applicants are encouraged, when possible, to contribute financially or through in-kind services to proposed projects in order to promote community interest and involvement.

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 mid-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 to obtain information needed to make an eligibility determination (see Eligibility, p. 9). If an applicant is determined ineligible, the agency will reject the application without evaluating the proposed project. Similarly, the agency will reject an incomplete application without subsequent evaluation of the proposed project. IMLS will notify a tribe if its application is rejected.

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

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

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.

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—*Moving Theory into Practice: Digital Imaging Tutorial*, by Cornell University Department of Preservation and Collections Maintenance.
- 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/—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—Northeastern Document Conservation Center.
- 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—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/techln.html>—*Building Digital Collections: Technical Information and Background Papers*, Library of Congress American Memory Project.
- 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—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—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—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—Bibliotheca Alexandrina provides Digital Assets Factory (DAF) digitization workflow tools.
- 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/—Global Digital Format Registry.
- 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—*Metadata Demystified*, by Amy Brand, Frank Daly, and Barbara Meyers (Sheridan Press and NISO Press, 2003).
- 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—*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—*PBCore: Public Broadcasting Metadata Dictionary*, for public broadcasters' television, radio, and Web activities.
- www.loc.gov/standards/—Library of Congress Digital Library Standards.
- www.diglib.org/standards.htm—*Digital Library Standards and Practices*, Digital Library Federation.
- www.bcr.org/cdp/digitaltb/index.html—Digital toolbox for the Bibliographic Center for Research's (BCR) Collaborative Digitization Program (CDP).
- www.openarchives.org/—Open Archives Initiative, OAI-PMH and OAI-ORE.

Preservation of Digital Material

- 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—*D-Lib Magazine* has many articles on preservation of digital materials.
- 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—Digital Curation Centre.
- 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/—Digital preservation site of the Library of Congress.
- 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—Center for Intellectual Property, University of Maryland University College.
- www.copyright.iupui.edu—Copyright Management Center (CMC), Indiana University—Purdue University Indianapolis.
- www.copyright.cornell.edu/—Cornell Copyright Information Center.
- <http://creativecommons.org/>—Creative Commons.
- <http://librarycopyright.net/digitalslider/>—Digital Copyright Slider.
- www.dfc.org/—Digital Future Coalition.

- www.digitalpreservation.gov/library/resources/pubs/docs/digital_preservation_final_report2008.pdf—*International Study on the Impact of Copyright Law on Digital Preservation*, Library of Congress.

Universal Access

- 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 ENHANCEMENT GRANT APPLICATION

GRANTS.GOV INFORMATION AND INSTRUCTIONS

Organizations that are applying under the May 1, 2009, deadline for the Native American Library Services Enhancement Grant 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 May 1.

IMPORTANT INSTRUCTIONS FOR ENHANCEMENT GRANT APPLICANTS:

An eligible Indian tribe or Alaska Native village or corporation (see p. 9 for definitions and eligibility requirements) must submit the application for the Enhancement Grant through Grants.gov with the electronic signature of an authorized organization representative (AOR) of the tribe. Tribal libraries and other entities administering the Enhancement Grant should coordinate with a tribal AOR concerning the Grants.gov application process. Applications that are not submitted by an eligible Indian tribe or Alaska Native village or corporation through Grants.gov will not be accepted.

While the deadline is May 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

- **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

(Applies only to the tribe or Alaska Native village/corporation that is the eligible applicant)

- **Step 1: Register your organization**
 - Request a D-U-N-S number
 - Register with the Central Contractor Registry (CCR) (must be renewed every 12 months)
 - Organization registration checklist
- **Step 2: Register an authorized organization representative (AOR)**

- **Step 3: Get the registered AOR authorized by the eligible organization**

Apply for Grants

www.grants.gov/applicants/apply_for_grants.jsp

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

**Use one of the following identifiers to locate the
Native American Library Services Enhancement Grant
application package:**

**CFDA No: 45.311
Funding Opportunity Number: NAG-ENHANCEMENT-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 May 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.

A third email message will be sent by Grants.gov when the application is retrieved by the grantor agency.

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.

- User manual for applicants: www.grants.gov/assets/ApplicantUserGuide.pdf
- Frequently asked questions (FAQs): 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.imls.gov/pdf/PDFConversion.pdf
- Download Adobe Acrobat software: See Step 1 at www.grants.gov/applicants/apply_for_grants.jsp. For optimal performance, Grants.gov recommends using Adobe Acrobat version 8.1.3.
- Glossary: 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
 - CCR FAQs: www.ccr.gov/FAQ.aspx

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

PREPARING AN APPLICATION

Application Components

An application requesting funding from the Native American Library Services Enhancement Grant 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 Adobe Acrobat viewer, preferably version 8.1.3, 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.
- **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 eight pages	Text document
5. Detailed Budget: replicated for each year of the project	IMLS form
6. Summary Budget	IMLS form
7. Budget justification: a narrative of up to two pages to describe the expenses listed in the budget forms	Text document
8. Specifications for Projects That Develop Digital Products (if applicable)	IMLS form
9. Schedule of completion	Text document
10. Long-range plan	Text document
11. List of key project staff and consultants	Text document
12. Resumes for key project staff: not to exceed two pages per person	Text document
13. Current federally negotiated rate for indirect costs (if applicable)	Text document
14. 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 that follows. **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.

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	3 4
Summary Budget form	Summarybudget.pdf	5
Budget justification	Budgetjustification.pdf	6
Specifications for Projects That Develop Digital Products form	Specificationsdigital.pdf	7
Schedule of completion	Scheduleofcompletion.pdf	8
Long-range plan	Longrangeplan.pdf	9
List of key project staff and consultants	Projectstaff.pdf	10
Resumes for key project staff	Resumes.pdf	11
Current federally negotiated indirect cost rate form	Indirectcostrate.pdf	12
Supporting documentation (numbered, as appropriate)	Supportingdoc1.pdf Supportingdoc2.pdf Supportingdoc3.pdf Etc.	13 14 15 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 page 9 (Eligibility) for eligibility details.

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 box next to "Indian/Native American Tribal Government (Federally Recognized)."

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 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. Enhancement Grant 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). **The project director should not be the same person as the authorized representative.**

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. **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. 55–59). 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 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:

- 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, skills, 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: Enter the name and address of the library that will administer the grant, if different from the applicant. 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.

e. Type of Institution: Select the box for “Native American Tribe/Native Hawaiian Organization.”

2. Grant Program or Grant Program Category

Select the box next to “Enhancement Grant” listed under “g. Native American/Native Hawaiian Library Services.”

3. Request Information

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

b. Cost Share Amount: Enter the amount here, if applicable.

4–6

Applicants for Native American Library Services Enhancement Grants should skip these sections.

7. Institutional Profile

Please provide complete information for all items (a through j) in this section.

For (i.), “Supported Activities,” check all applicable boxes next to the activities that will be supported by the grant. These activities are the focus of the Library Services and Technology Act (LSTA) and are not listed in priority order.

For (j.), “Maintenance of Effort,” check the one box that most appropriately corresponds to the applicant tribe’s level of maintenance of effort for library services in the past year. IMLS Native American Library Services grants are not intended to replace funds allocated for library services by the tribe. A tribe receiving an IMLS Native American Library Services grant should expend the same amount for library services during the grant period (excluding the grant amount) that was expended in the 12-month period immediately preceding it.

8. Applicants for Native American Library Services Enhancement Grants should skip this section.

Narrative

Limit the narrative to eight 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 Native American Library Services Enhancement Grant 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. Sample Enhancement Grant narratives may be found at www.ims.gov/applicants/sample.shtm.

Evaluation Criteria

1. Introduction and Assessment of Need

- Briefly describe the applicant's community, including population profile, location, economy, educational levels, languages, culture, and other important characteristics.
- Describe the current role of the library in the community and the services it provides, (e.g., hours and days of operation, staffing, number of registered patrons, circulation statistics, programming).
- Briefly summarize the proposed project. Describe the specific need(s) that the library will address with the Enhancement Grant project and the specific audience(s) the library will serve (e.g., particular age groups, underserved community members, other types of target audience).
- What assessments were conducted to identify this need as a priority for the library? Describe the results of these assessments, including baseline data that can be used to compare with final results to determine the project's success. Why is the approach this project proposes considered the best solution to the need(s) identified?

Evaluation Criteria: Reviewers will look for evidence that the applicant has conducted a formal or informal assessment of community needs and library capacity and carefully considered the appropriate role for the library in addressing the need it has identified for the project. They will look for baseline data that can be used to determine project results.

2. Expected Outcomes and Project Goals

- What do you want to achieve with this project? How will it benefit the individuals or groups that are the target audience? Describe what outcomes are expected or desired. (Outcomes are defined as changes in an individual's or group's knowledge, skills, attitudes, or behaviors related to the purpose of the project.)
- Describe the goals that will be set to meet this outcome. (Goals are statements of broad results that guide the organization's design of programs, choice of projects, and management decisions.)

Evaluation Criteria: Reviewers will look for efficient, effective, and reasonable approaches that will achieve clearly envisioned project results and improve the audience's knowledge, skills, attitudes, or behaviors in particular ways.

3. Project Design and Required Resources

- Describe in detail the activities and services (outputs) that will be necessary to ensure the success of this project. (Outputs are defined as the activities, services, or products of

the library. They are the things that can be counted—number of new books, number of programs, circulation numbers, etc.)

- As you describe project activities and the proposed timeline, identify the specific resources (inputs) that will be needed for each goal. (Inputs are defined as resources necessary for the success of a project, including permanent staff expertise and time commitment, temporary staff, materials, equipment, training, technology, partners, consultants, facilities, and other resources necessary to develop and implement the project successfully and then sustain it beyond the period of federal funding.)

Evaluation Criteria: Reviewers will look for indications that the design, methods, and timeline match the scope of the project; that project goals can be met successfully; and that project personnel have relevant experience and can commit adequate time to carry out the project activities and achieve project goals. Reviewers will look for evidence that partners are contributing to and benefiting from the project. Reviewers will look for evidence that there is a solid plan for continued support after the end of the grant period.

4. Evaluation Methods and Dissemination

- How will you know that this project was successful? How will you know what knowledge, skills, attitudes, or behaviors have been changed in the target audience?
- What information will be collected during the project to compare with the baseline data to determine these changes? How often will you collect it? What data sources will you use? (Data sources can include surveys, interviews, or informal feedback.) During the project, what output and outcome targets will be set to assure that the project stays on track?
- Describe the various ways information about project results and lessons learned will be shared, both locally and nationally, with the Native American library community at large.

Evaluation Criteria: Reviewers will look for indications that reliable information that demonstrates the extent of the project's success will be collected. Reviewers will look for evidence that evaluation will take place on a continuing basis to allow for adjustments and improvements in the project design. They will want information that shows how project results will be broadly disseminated.

For projects that develop digital products: If a digitization project is proposed, please incorporate relevant information into the responses to the above criteria. Also, the Specifications for Projects That Develop Digital Products form must be completed and submitted with the application.

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.

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 second year, if applicable. 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 a lump sum of \$2,500 per year for travel to attend IMLS-designated meetings. 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. Costs need not be calculated separately for per diem and travel expenses.
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 Enhancement 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 (September 2009 for the Enhancement Grant), 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.

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.

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.

Specifications for Projects That Develop Digital Products

For a list of resources on digitization projects that may help applicants complete this form, see pages 32–35. 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.

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.

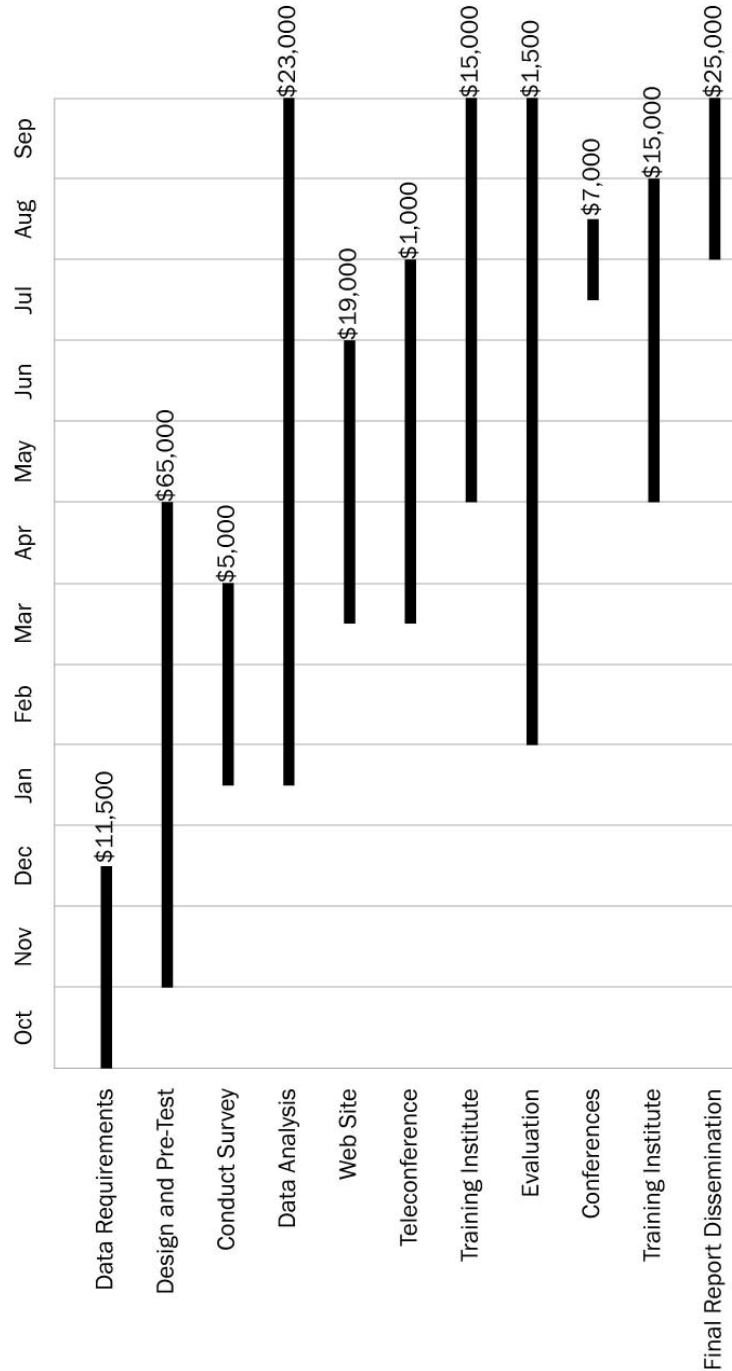
5. Specify the file formats to be produced and the anticipated quality of each format (e.g., minimum resolution, depth, tone, pixel dimensions, file size, sampling rate, compression ratio, frames per second). If watermarks or other features will be used, explain. Provide information for Master, Access, 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.

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.

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.



Long-Range Plan

To help ensure that library services meet current local needs, and to help applicants develop strategies to build services that will be needed in the future, IMLS requires that the applicant submit a long-range plan (formerly called a three-year plan) with the application. The plan should identify community needs and how the library will address those needs. The submission of a long-range plan does not imply automatic funding for the years covered in the plan, nor does it imply the availability of grant funds past the stated grant period.

The long-range plan submitted in 2009 must cover the period October 2009–September 2012. The plan may be a revised or expanded version of the one submitted with the Basic Grant application, and it should include the proposed Enhancement Grant project as it relates to the library's mission and goals.

The long-range plan must state the library's mission and goals, and the programs and activities that will be implemented to achieve those goals. The long-range plan should include an evaluation plan that will demonstrate progress toward reaching the library's goals. Visit the IMLS Web site at www.ims.gov/pdf/09_longrangeplan.pdf to see a sample plan and a glossary of terms. Use the outline below to create a long-range plan.

1. Mission statement
2. Statement of need #1
 - a. Assessment of need
 - b. Expected outcome
 - b. Project goal(s)
 - d. Project design and required resources, including:
 - Activities, services, and products (outputs); and
 - Resources needed to succeed (inputs); and
 - Proposed timeline for grant activities
 - e. Evaluation methods
 - (1) Output targets
 - (2) Outcome targets
3. Statement of need #2
 - a. Assessment of need
 - b. Expected outcome
 - c. Project goal(s)
 - d. Project design and required resources, including:
 - Activities, services, and products (outputs); and
 - Resources needed to succeed (inputs); and
 - Proposed timeline for grant activities
 - e. Evaluation methods
 - (1) Output targets
 - (2) Outcome targets

Additional needs statements as appropriate

In addition, the document must

- include the applicant organization's name at the top of each page,
- have a margin of at least 0.5 inch on all sides,
- have each page numbered, and

- use a 12-point typeface or larger with no more than six lines per vertical inch and standard spacing between the letters. Condensed fonts or handwritten documents are not acceptable.

IMLS supports and encourages the use of an evaluation tool called outcome-based evaluation (OBE). This system of measuring results replaces the question, “What activities did we carry out?” with the question, “What changed as a result of our work?” A focus on measuring outcomes—the effect of an institution’s activities and services on the people it serves—rather than on the services themselves (outputs) is an emerging keystone of library programs. Additional information about OBE is available on the IMLS Web site at www.imls.gov/applicants/obe.shtm or on request from IMLS. See also “Shaping Outcomes: Making a Difference in Libraries and Museums,” an online tutorial, at www.shapingoutcomes.org/.

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 of May 1, 2009, 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.

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 of award (September 2009 for the Enhancement Grant), 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**

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.

Debarment and Suspension

The applicant shall comply with 2 CFR Part 3185. The authorized representative, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant nor any of its principals:

- (a) Are presently excluded or disqualified;
- (b) Have been convicted within the preceding three years of any of the offenses listed in 2 CFR section 180.800(a) or had a civil judgment rendered against it or them for one of those offenses within that time period;
- (c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses listed in 2 CFR section 180.800(a); or
- (d) Have had one or more public transactions (Federal, State, or local) terminated within the preceding three years for cause or default.

Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

The applicant, as a primary tier participant, is required to comply with 2 CFR Part 180 Subpart C (Responsibilities of Participants Regarding Transactions Doing Business With Other Persons) as a condition of participation in the award. The applicant is also required to communicate the requirement to comply with 2 CFR Part 180 Subpart C (Responsibilities of Participants Regarding Transactions Doing Business With Other Persons) to persons at the next lower tier with whom the applicant enters into covered transactions.

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 comply with the communication and verification requirements set forth in the above Debarment and Suspension provisions.

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).



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Museum and Library
SERVICES

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