

# LAURA BUSH 21<sup>ST</sup> CENTURY LIBRARIAN PROGRAM

## FY 2022 NOTICE OF FUNDING OPPORTUNITY

|                                                            |                                                                                                                                                                                                                                          |
|------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Federal Awarding Agency</b>                             | Institute of Museum and Library Services                                                                                                                                                                                                 |
| <b>Funding Opportunity Title</b>                           | Laura Bush 21 <sup>st</sup> Century Librarian Program                                                                                                                                                                                    |
| <b>Announcement Type</b>                                   | New                                                                                                                                                                                                                                      |
| <b>Funding Opportunity Number</b>                          | LB21-FY22                                                                                                                                                                                                                                |
| <b>Assistance Listing Number</b>                           | 45.313                                                                                                                                                                                                                                   |
| <b>Application Deadline</b>                                | <p><b>Preliminary Proposals:</b> Submit through Grants.gov by 11:59 p.m. U.S. Eastern Time on September 24, 2021.</p> <p><b>Invited Full Proposals:</b> Submit through Grants.gov by 11:59 p.m. U.S. Eastern Time on March 25, 2022.</p> |
| <b>Anticipated Date of Notification of Award Decisions</b> | July 2022 (subject to the availability of funds and IMLS discretion)                                                                                                                                                                     |
| <b>Beginning Date of Period of Performance</b>             | Projects must begin on August 1, 2022.                                                                                                                                                                                                   |

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# Laura Bush 21<sup>st</sup> Century Librarian Program

## A. Program Description

### A1. Agency Mission, Goals, and Objectives

The mission of the Institute of Museum and Library Services (IMLS) is to advance, support, and empower America's museums, libraries, and related organizations through grantmaking, research, and policy development. Guiding our grantmaking are three agency-level goals with two objectives each.

- **Goal 1: Champion Lifelong Learning**
  - Objective 1.1: Advance shared knowledge and learning opportunities for all.
  - Objective 1.2: Support the training and professional development of the museum and library workforce.
- **Goal 2: Strengthen Community Engagement**
  - Objective 2.1: Promote inclusive engagement across diverse audiences.
  - Objective 2.2: Support community collaboration and foster civic discourse.
- **Goal 3: Advance Collections Stewardship and Access**
  - Objective 3.1: Support collections care and management.
  - Objective 3.2: Promote access to museum and library collections.

The Laura Bush 21<sup>st</sup> Century Librarian Program supports the achievement of agency-level Goal 1, Champion Lifelong Learning, and Objective 1.2, Support the training and professional development of the museum and library workforce. Like all IMLS grant programs, it is also designed to facilitate the delivery of significant results consistent with the IMLS federal authorizing legislation (20 U.S.C. § 9101 *et seq.*; in particular, § 9165 (Laura Bush 21<sup>st</sup> Century Librarian Program)). Each award that IMLS makes through the Laura Bush 21<sup>st</sup> Century Librarian Program will thus contribute meaningfully to the achievement of both program and agency-level goals.

[Click here to search awards made through the Laura Bush 21<sup>st</sup> Century Librarian Program by year, log number, state, city, and/or keyword.](#)

Throughout its work, IMLS places importance on diversity, equity, and inclusion. This may be reflected in an IMLS-funded project in a wide range of ways, including efforts to serve individuals of diverse geographic, cultural, and socioeconomic backgrounds; individuals with disabilities; individuals with limited functional literacy or information skills; individuals having difficulty using a library or museum; and underserved urban and rural communities, including children from families with incomes below the poverty line.

This may also be reflected in efforts to recruit and develop future professionals in the library or museum fields (e.g., paid internships), develop strategies for building or enhancing access to collections and information, and compensate project participants (e.g., students, staff, community members, advisors) as appropriate for their time and expertise.

## A2. Laura Bush 21<sup>st</sup> Century Librarian Program Goals and Objectives

This program is designed to support the development of a diverse workforce of librarians and archivists in order to meet the information needs of their communities. As a result, Laura Bush 21<sup>st</sup> Century Librarian Program grants have significant potential to generate positive societal impact through project activities undertaken as part of the grant-funded work, activities that may be complementary to the project, and through applied research designed specifically for this purpose. IMLS does not prescribe the type, focus, reach, or scale of societal impact required for each project, but the questions to be addressed in the application Narrative and the review criteria reflect the agency's commitment to both advancing knowledge and understanding and to ensuring that the federal investment made through grants generates benefits to society. Applicants should keep these two aims in mind when they conceptualize their projects, identify the target group(s) they propose to reach, prepare their work plans, and formulate their intended results.

Reflecting IMLS's agency-level goal of championing lifelong learning, the Laura Bush 21<sup>st</sup> Century Librarian Program has three program goals and from three to five objectives associated with each goal. Each applicant should align their proposed project with one of these three program goals and one or more of the associated objectives. Goal and objective choices should be identified clearly in the Narrative (see [Section D2c](#) for Preliminary Proposals and [Section D3c](#) for Invited Full Proposals).

- **Goal 1: Recruit, train, develop, and retain a diverse workforce of library and archives professionals.**
  - Objective 1.1: Develop or enhance programs specifically to encourage students of diverse and underrepresented backgrounds at the middle school, high school, and postsecondary levels to pursue careers in library and information science. Delivery mechanisms may include, but are not limited to, summer institutes, workshops, certificate programs, and online networks.
  - Objective 1.2: Collaborate with formal and/or informal learning organizations to incorporate promising practices from allied domains into library and archives services. Partners may include, but are not limited to, museums, school systems, universities, extension programs, youth-serving organizations, departments of correction, and workforce or economic development organizations.
  - Objective 1.3: Develop training for library and archives workforces to support families, groups, and individuals of diverse cultural and socioeconomic backgrounds and needs including but not limited to young children and their caregivers, tweens and teens, un- and under-employed adults looking to make career transitions or re-enter the workforce, veterans, immigrants and refugees, individuals with disabilities, English-language learners, and senior citizens.
- **Goal 2: Develop faculty, library, and archives leaders by increasing the institutional capacity of libraries, archives, and graduate programs related to library and information science.**
  - Objective 2.1: Support the preparation and implementation of large-scale organizational change addressing diversity, equity, and inclusion. Activities may include, but are not limited to, needs assessments; formal and informal training at the individual and group level in relevant areas such as cultural awareness and competence, cross-cultural knowledge and skills, stakeholder management and engagement, organizational dynamics, and agile project management; facilitated cross-departmental workshops; and external evaluation.

- Objective 2.2: Create initiatives, activities, and curricula that reduce equity gaps and address issues of diversity, equity, and inclusion in the recruitment, development, and retention of faculty, library, and archives leaders from diverse and underrepresented backgrounds.
- Objective 2.3: Support the research of untenured tenure-track library and information science faculty, furthering the faculty member's long-term research agenda, career trajectory, and professional development.
- **Goal 3: Enhance the training and professional development of the library and archival workforce to meet the needs of their communities.**
  - Objective 3.1: Develop training to equip the library and archival workforce to engage in sustained community development. Approaches may include, but are not limited to, design thinking, data analytics, impact assessment, leadership development, organizational change, asset mapping, and collective impact.
  - Objective 3.2: Create and/or refine training programs that build library and archival workforce skills and expertise in contributing to the well-being of communities. This work may relate to workforce and economic development; financial, health, social, or legal services; or efforts that increase equity and access.
  - Objective 3.3: Create and/or refine training programs to build library and archival workforce skills and expertise in developing engaging lifelong learning opportunities, fostering attitudes of discovery, cultivating critical and creative thinking skills, and facilitating experiential and self-directed learning opportunities for all.
  - Objective 3.4: Support training of the library and archival workforce to advance digital inclusion for the benefit of community members. Approaches may include, but are not limited to, enhancing digital infrastructures, platforms, technologies, online services, connectivity, digital literacy, privacy, and security, as well as creating new processes and procedures needed to sustain a robust online environment.
  - Objective 3.5: Support training of the library and archival workforce in digital collection management including, but not limited to, preservation and access to information and resources through retrospective and born-digital content; digital preservation strategies; community archives; web archiving; and improving cataloging and inventory practices.

### A3. Project Types

The Laura Bush 21<sup>st</sup> Century Librarian Program has five project types, and applicants must designate one of them for each application they submit. Applicants may submit more than one application to the Laura Bush 21<sup>st</sup> Century Librarian Program; however, they may not submit the same proposal under more than one project type.

The project types and corresponding periods of performance are:

| Project Type   | Period of Performance |
|----------------|-----------------------|
| Planning       | 1 to 2 years          |
| Forum          | 1 to 2 years          |
| Implementation | 1 to 3 years          |

|                                   |              |
|-----------------------------------|--------------|
| Early Career Research Development | 1 to 3 years |
| Applied Research                  | 1 to 3 years |

**Planning projects** support exploratory activities, such as analyzing needs and feasibility; solidifying partnerships; developing project work plans; or developing prototypes, proofs of concept, and pilot studies. Applications should identify planning activities that have the potential to lead to future implementation. The period of performance for a Planning project is one to two years.

**Forum projects** support convening qualified experts and key stakeholders, including those from adjacent fields as appropriate, to help explore current or emerging issues or opportunities that are important to professional development and education-related issues in libraries and archives across the nation. Reports and other deliverables should be prepared for wide dissemination. Convenings should leverage technology, such as virtual meetings or live streaming, to allow broad participation. Additional mechanisms for engaging stakeholders and building awareness of the findings are encouraged. The period of performance for a Forum project is one to two years.

**Implementation projects** support developing faculty, library, and archives leaders and contributing to the professional development and retention of library and archives staff who serve the nation. Implementation projects may develop new tools and resources or expand existing products or services for new audiences or in new contexts. Applicants should design their proposed work to ensure that new practices have the potential to be easily adoptable, sustainable, and widely implementable across the field. The period of performance for an Implementation project is one to three years.

**Early Career Research Development projects** support the research of untenured tenure-track library and information science faculty, furthering the faculty member's long-term research agenda, career trajectory, and professional development. Early Career Research Development project proposals must have a single Project Director with no co-Project Directors; consultants and students may be included. The period of performance for an Early Career Research Development project is one to three years.

By the deadline for submission of Invited Full Proposals, the Project Director must:

- hold a doctoral degree,
- be untenured tenure-track library and information science faculty, and
- have both teaching and research responsibilities.

Applicants invited to submit a full proposal must include a letter of departmental endorsement, verifying that the Project Director meets the above criteria.

**Applied Research projects** support the investigation of key questions relevant to library or archival professional practice, building on prior empirical, theoretical, or exploratory work in libraries and archives or other relevant disciplines. Applicants **must** include clearly articulated research questions and feature appropriate methods, including relevant theoretical or conceptual approaches, data collection, and analysis. Findings and their implications for library and archival practice should be shared broadly throughout the grant period of performance, rather than exclusively at the end of the project. Dissemination activities should extend beyond publishing journal articles and presenting at academic conferences. Research projects should not be designed with a deterministic agenda or predetermined outcomes. Proposals focused on evaluation are **not** appropriate for the Applied Research project category and should be submitted under the Implementation project category

above. The period of performance for an Applied Research project is one to three years. See [Guidance for Research Applications](#).

**Note:** Applications submitted for Early Career Research Development projects or Applied Research projects will be considered incomplete if they do not include Data Management Plans that explain how the applicant will manage, share, preserve, document, and enable reuse of the information and research products created during the project. See Appendix Five for guidance on creating a [Data Management Plan](#).

## A4. Performance Measures

The Laura Bush 21<sup>st</sup> Century Librarian Program uses four performance measures as a basis for understanding (1) how well the grant program is meeting its goals and (2) how individual projects are being managed.

- **Effectiveness:** The extent to which activities contribute to achieving the intended results
- **Efficiency:** How well resources (e.g., funds, expertise, time) are used and costs are minimized while generating maximum value for the target group
- **Quality:** How well the activities meet the requirements and expectations of the target group
- **Timeliness:** The extent to which each task/activity is completed within the timeframe proposed

Each applicant preparing an Invited Full Proposal is asked to describe how they will monitor and assess their performance in carrying out their project as a whole, using these four measures (see [Section D3c, Item 7](#)).

## A5. Authorizing Statute and Regulations

**Statute:** 20 U.S.C. § 9101 et seq.; in particular, § 9165 (Laura Bush 21<sup>st</sup> Century Librarian Program).

**Regulations:** 45 C.F.R. Chapter XI and 2 C.F.R. Chapter XXXI

*Recipients must follow the IMLS regulations that are in effect at the time of the award.*

*The Office of Management and Budget (OMB) guidance on Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) can be found at 2 C.F.R. part 200. With certain IMLS-specific additions, IMLS regulations at 2 C.F.R. part 3187 formally adopt the 2 C.F.R. part 200 Uniform Guidance.*

## A6. Equal Opportunity

IMLS-funded programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, email the Civil Rights Officer at [CivilRights@imls.gov](mailto:CivilRights@imls.gov) or write to the Civil Rights Officer, Institute of Museum and Library Services, 955 L'Enfant Plaza North, SW, Suite 4000, Washington, DC, 20024-2135.

## B. Federal Award Information

|                                                                              |                                                                                                                                                                    |                        |
|------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|
| Total amount of funding IMLS expects to award through this announcement      | \$8,000,000                                                                                                                                                        |                        |
| Expected performance indicators, targets, baseline data, and data collection | See <a href="#">Section A4</a> .                                                                                                                                   |                        |
| Anticipated number of awards                                                 | 31                                                                                                                                                                 |                        |
| Expected amount of individual awards                                         | Planning                                                                                                                                                           | \$50,000 - \$150,000   |
|                                                                              | Forum                                                                                                                                                              | \$50,000 - \$150,000   |
|                                                                              | Implementation                                                                                                                                                     | \$50,000 - \$1,000,000 |
|                                                                              | Early Career Research Development                                                                                                                                  | \$50,000 - \$750,000   |
|                                                                              | Applied Research                                                                                                                                                   | \$50,000 - \$750,000   |
| Average amount of funding per award experienced in previous years            | \$258,425                                                                                                                                                          |                        |
| Anticipated start dates for new awards                                       | Projects must begin on August 1, 2022.                                                                                                                             |                        |
| Anticipated period of performance                                            | August 1, 2022 – July 31, 2025. Project activities may be carried out for one to three years, based on the selected project type. See <a href="#">Section A3</a> . |                        |
| Type of assistance instrument                                                | Grant                                                                                                                                                              |                        |

The funding in the above Federal Award Information table is subject to the availability of funds and IMLS discretion. IMLS is not bound by any estimates in this announcement.

If your request for federal funding, including all direct and indirect costs, is outside the applicable range as designated above, your application will be rejected from consideration for funding in this program.

Applications for renewal or supplementation of existing projects are not eligible to compete with applications for new awards.

Contingent upon the availability of funds, the quality of applications, and IMLS discretion, IMLS may make additional awards from the pool of unfunded applications from this competition.



## C. Eligibility Information

### C1. Eligible Applicants

To be eligible for the Laura Bush 21<sup>st</sup> Century Librarian Program, you must:

1. be either a unit of State or local government or be a private, nonprofit organization that has nonprofit status under the Internal Revenue Code of 1954, as amended, **and**
2. be located in one of the 50 States of the United States of America, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

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

1. A library or a parent organization, such as a school district, a municipality, a State agency, or an academic institution, that is responsible for the administration of a library. Eligible libraries include:
  - (a) Public libraries
  - (b) Public elementary and secondary school libraries
  - (c) College (including community college) and university libraries
  - (d) Research libraries and archives that are not an integral part of an institution of higher education and that make publicly available library services and materials that are suitable for scholarly research and not otherwise available. Research libraries must be under the supervision of at least one permanent professional staff librarian and must be either generally recognized as possessing unique, scholarly research materials and services that are made available to the public, or able to demonstrate that such is the case when submitting an application to IMLS.
  - (e) Private or other special library, but only if the State in which such private or special library is located determines that the library should be considered a library for purposes of Library Services and Technology (see 20 U.S.C. § 9121-9165);
2. An academic or administrative unit, such as a graduate school of library and information science that is part of an institution of higher education through which it would make application;
3. A digital library, if it makes library materials publicly available and provides library services, including selection, organization, description, reference, and preservation, under the supervision of at least one permanent professional staff librarian;
4. A library agency that is an official agency of a State or other unit of government and is charged by the law governing it with the extension and development of public library services within its jurisdiction;
5. A library consortium that is a local, statewide, regional, interstate, or international cooperative association of library entities that provides for the systematic and effective coordination of the resources of eligible libraries, as defined above, and information centers that work to improve the services delivered to the clientele of these libraries; or
6. A library association that exists on a permanent basis; serves libraries or library professionals on a national, regional, State, or local level; and engages in activities designed to advance the well-being of libraries and the library profession.



IMLS recognizes the potential for valuable contributions to the overall goals of the Laura Bush 21<sup>st</sup> Century Librarian Program by entities that do not meet the eligibility requirements above. Although such entities may not serve as the legal applicants, they are encouraged to participate in projects. Consult with an IMLS Program Contact about any eligibility questions before submitting an application.

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

## C2. Cost Share Requirements

For the Laura Bush 21<sup>st</sup> Century Librarian Program, the requirements to provide cost share from non-federal sources differ according to project type.

| Project Type                      | Award Amount           | Cost Share Requirement                                                                                  |
|-----------------------------------|------------------------|---------------------------------------------------------------------------------------------------------|
| Planning                          | \$50,000 - \$150,000   | No cost share required.                                                                                 |
| Forum                             | \$50,000 - \$150,000   | No cost share required.                                                                                 |
| Implementation                    | \$50,000 - \$1,000,000 | Requests of more than \$249,999 in IMLS funds require at least 1:1 cost share from non-federal sources. |
| Early Career Research Development | \$50,000 - \$750,000   | No cost share required.                                                                                 |
| Applied Research                  | \$50,000 - \$750,000   | No cost share required.                                                                                 |

Cost sharing is an eligibility criterion and is not considered in the peer review of applications. Cost share that appears in the project budget should be calculated carefully. Recipients are expected to meet their cost share commitments.

[Click here for further information on cost share.](#)

## C3. Other Eligibility Information

There is no limit to the number of applications an eligible applicant may submit under this announcement. Individual Project Directors may be named on multiple applications under this announcement. However, the same proposal may not be submitted to IMLS under more than one project type, listed in [Section A3](#).

Applications involving partnerships or collaborations are welcome. When two or more eligible institutions or organizations work together on a project, one of them must meet all eligibility requirements, serve as the lead applicant, and administer the award on behalf of the other(s). The lead applicant must meet all eligibility requirements. If IMLS funds the project, the lead applicant will be programmatically, fiscally, and legally responsible for the award.

IMLS will not review applications from ineligible applicants. IMLS will notify each applicant whose application will not be reviewed because the organization is determined to be ineligible.

IMLS will not make awards to ineligible applicants. In order to receive an IMLS award, an organization must be eligible and be in compliance with applicable requirements.

The application process for the Laura Bush 21<sup>st</sup> Century Librarian Program consists of two phases. For Phase I, all applicants must submit two-page Preliminary Proposals (see [Section D2](#)). For Phase II, selected applicants will be invited to submit full proposals (Invited Full Proposals) (see [Section D3](#)). For both phases, applicants must submit their materials by the deadlines indicated on page 1 of this Notice of Funding Opportunity. Late applications will not be considered for funding under this notice. Only Invited Full Proposals will be considered for funding.

## D. Application and Submission Information

### D1. Application Package

Applicants must apply electronically through [Grants.gov Workspace](#) or a Grants.gov system-to-system solution. Use one of the following identifiers to locate the application package in [Grants.gov](#):

- Funding Opportunity Number: LB21-FY22
- Assistance Listing Number: 45.313

To request an audio recording of this announcement, call 202-653-4744. To request a paper copy of this announcement, call 202-653-4744 or email [imls-librarygrants@imls.gov](mailto:imls-librarygrants@imls.gov).

Persons who are deaf or hard of hearing (TTY Users) can contact IMLS at 202-207-7858 via 711 for TTY-Based Telecommunications Relay Service.

### D2. Content and Form of Application Submission for Phase I Preliminary Proposals

The Table of Application Components below will help you prepare a complete Preliminary Proposal application. The links lead to more information and instructions for each application component.

Applications missing any Required Documents from this list will be considered incomplete and may be rejected from further consideration. (See 2 C.F.R. § 3187.9.)

#### D2a. Table of Application Components for Phase I Preliminary Proposals

| Component                                                                                                 | Format          | File name to use |
|-----------------------------------------------------------------------------------------------------------|-----------------|------------------|
| <b>Required Documents</b><br>Please see the guidance in <a href="#">Section D2c</a> for more information. |                 |                  |
| <a href="#">The Application for Federal Domestic Assistance/Short Organizational Form</a> (SF-424S)       | Grants.gov form | n/a              |
| <a href="#">IMLS Supplementary Information Form</a> (including Abstract)                                  | Grants.gov form | n/a              |
| <a href="#">IMLS Library - Discretionary Program Information Form</a>                                     | Grants.gov form | n/a              |

|                                                                 |              |               |
|-----------------------------------------------------------------|--------------|---------------|
| <a href="#">Preliminary Proposal Narrative</a> (two pages max.) | PDF document | Narrative.pdf |
|-----------------------------------------------------------------|--------------|---------------|

## D2b. Format, Name, and Sequence of the Application Components for Phase I Preliminary Proposals

**Document format:** The SF-424S, the IMLS Supplementary Information Form (including Abstract), and the IMLS Library - Discretionary Program Information Form are created in Grants.gov Workspace. The Preliminary Proposal Narrative must be submitted as a PDF document.

**Page limits:** Note the page limit for the Preliminary Proposal Narrative. IMLS will remove any additional pages and will not send them to reviewers as part of the application.

**Naming convention:** Use the naming conventions indicated in the table above. **IMPORTANT:** Attachment file names are limited to the following characters: A-Z, a-z, 0-9, underscore (\_), hyphen (-), space, period (.). If attachment file names use any other characters, the application may be rejected by Grants.gov.

**Attachment order:** In Grants.gov, attach all application components in the sequence listed in the table above.

**Complete applications:** Use the table above as a checklist to ensure that you have created and attached all necessary application components.

## D2c. Instructions for Required Documents for Phase I Preliminary Proposals

### 1. The Application for Federal Domestic Assistance/Short Organizational Form (SF-424S)

The SF-424S is part of the application package that you complete in Grants.gov Workspace. [Click here for instructions on completing the SF-424S.](#)

### 2. IMLS Supplementary Information Form (including Abstract)

The IMLS Supplementary Information Form (including Abstract) is part of the application package that you complete in Grants.gov Workspace. [Click here for instructions on completing it.](#) Preliminary Proposals do not require a full abstract. You may enter the "Project Description" (about 120 words) from the SF-424S.

### 3. IMLS Library - Discretionary Program Information Form

The IMLS Library - Discretionary Program Information Form is part of the application package that you complete in Grants.gov Workspace. [Click here for instructions on completing it.](#)

### 4. Preliminary Proposal Narrative

Write a Narrative that includes the elements described below and save it as a PDF.

- Limit the Narrative to two (2) numbered pages. We will remove any additional pages, and we will not send them to reviewers as part of your application.
- Consider each Narrative question and be mindful of each section's review criteria as listed in [Section E1a](#).
- Be clear and concise with a minimum of technical jargon and acronyms.
- Make sure your organization's name appears at the top of each page.
- Use at least 0.5-inch margins on all sides and a font size of at least eleven points.

If your proposal is selected for funding, the Preliminary Proposal Narrative may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

The Preliminary Proposal Narrative must be no longer than two pages and should be organized using the section headings of Project Justification, Project Work Plan, Diversity Plan, and Project Results. Begin by identifying the Laura Bush 21<sup>st</sup> Century Librarian Program goal and objective(s) you have chosen (see [Section A2](#)). Then write a summary that includes the name of the lead applicant organization, the amount of IMLS funds requested and the amount of funds provided as cost share (if any), the names of partner organizations, the overall need to be addressed, and the intended impact(s) of the project.

Then describe in greater detail the overall need that will serve as the focus of your project and its relevance to the project type you have selected. Consider the program goal and associated objective(s) as you develop the Project Justification. Lay out the Project Work Plan and the Diversity Plan, and identify the Project Results you intend to achieve.

A summary of the Diversity Plan is a required element for each Preliminary Proposal Narrative.

Preliminary Proposals for Early Career Research Development and Applied Research projects must also include clearly defined research questions. See [Guidance for Research Applications](#).

Conclude the Preliminary Proposal Narrative with a one-paragraph budget summary. A proposal with a Narrative that does not include a budget summary will be rejected from further consideration. The budget summary must include a breakdown by category of how both IMLS and cost share funds (if required) would be allocated and the total anticipated costs of the project. Implementation project proposals requesting more than \$249,999 must include at least a 1:1 cost share from non-federal sources. To calculate the minimum required cost share, subtract Student Support costs from the total requested IMLS funds (including indirect costs).

See [Section E1a](#) for the review criteria for Phase I Preliminary Proposals.

Please be advised that reviewers may also choose to visit your organization's website, as listed on the SF-424S form provided with your application.

## D2d. Additional Information

Applicants may contact an IMLS Program Contact prior to submitting a Preliminary Proposal for general information regarding the application process. Contact information is available on the [Laura Bush 21st Century Librarian Program page](#).

[Contact Grants.gov](#) or call their help line at 1-800-518-4726 for assistance with software issues, registration issues, and technical problems.

## D3. Content and Form of Application Submission for Phase II Invited Full Proposals

Of those applicants who submit two-page Preliminary Proposals, IMLS will invite a subset to submit full proposals. An applicant who is asked to submit an Invited Full Proposal must submit an application by 11:59 p.m. U.S. Eastern Time on March 25, 2022. IMLS makes awards only to eligible applicants that submit Invited Full Proposal applications through Grants.gov on or before this deadline. Complete applications will be accepted only from applicants who have submitted Preliminary Proposals and have been invited to submit full proposals.

The Table of Application Components for Invited Full Proposals below will help you prepare a complete Invited Full Proposal application. The links lead to more information and instructions for each application component.

Applications missing any Required Documents or Conditionally Required Documents from this list will be considered incomplete and may be rejected from further consideration. (See 2 C.F.R. § 3187.9.)

### D3a. Table of Application Components for Phase II Invited Full Proposals

| Component                                                                                                 | Format          | File name to use          |
|-----------------------------------------------------------------------------------------------------------|-----------------|---------------------------|
| <b>Required Documents</b><br>Please see the guidance in <a href="#">Section D3c</a> for more information. |                 |                           |
| <a href="#">The Application for Federal Domestic Assistance/Short Organizational Form</a> (SF-424S)       | Grants.gov form | n/a                       |
| <a href="#">IMLS Supplementary Information Form</a> (including Abstract)                                  | Grants.gov form | n/a                       |
| <a href="#">IMLS Library – Discretionary Program Information Form</a>                                     | Grants.gov form | n/a                       |
| <a href="#">Organizational Profile</a> (one page max.)                                                    | PDF document    | Organizationalprofile.pdf |
| <a href="#">Narrative</a> (ten pages max.)                                                                | PDF document    | Narrative.pdf             |
| <a href="#">Schedule of Completion</a> (one page per year max.)                                           | PDF document    | Scheduleofcompletion.pdf  |
| <a href="#">Performance Measurement Plan</a> (two pages max.)                                             | PDF document    | Perfmeasurement.pdf       |
| <a href="#">IMLS Budget Form</a>                                                                          | IMLS PDF form   | Budget.pdf                |
| <a href="#">Budget Justification</a>                                                                      | PDF document    | Budgetjustification.pdf   |
| <a href="#">List of Key Project Staff and Consultants</a> (one page max.)                                 | PDF document    | Projectstaff.pdf          |
| <a href="#">Resumes of Key Project Staff and Consultants</a> (two pages each max.)                        | PDF document    | Resumes.pdf               |

|                                                                                                                                                             |              |                                                                |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|----------------------------------------------------------------|
| <a href="#">Digital Products Plan</a> (two pages max.)                                                                                                      | PDF document | Digitalproduct.pdf                                             |
| <p style="text-align: center;"><b>Conditionally Required Documents</b><br/>Please see the guidance in <a href="#">Section D3d</a> for more information.</p> |              |                                                                |
| <a href="#">Proof of Private, Nonprofit Status</a>                                                                                                          | PDF document | Proofnonprofit.pdf                                             |
| <a href="#">Final Federally Negotiated Indirect Cost Rate Agreement</a>                                                                                     | PDF document | Indirectcostrate.pdf                                           |
| <a href="#">Data Management Plan</a> (two pages max.)                                                                                                       | PDF document | Datamanagement.pdf                                             |
| <a href="#">Letter of Departmental Endorsement for an Early Career Research Development Proposal</a>                                                        | PDF document | Endorsement.pdf                                                |
| <p style="text-align: center;"><b>Supporting Documents</b><br/>Please see the guidance in <a href="#">Section D3e</a> for more information.</p>             |              |                                                                |
| <a href="#">Information that supplements the Narrative and supports the project description provided in the application</a>                                 | PDF document | Supportingdoc1.pdf<br>Supportingdoc2.pdf<br>Supportingdoc3.pdf |

### D3b. Format, Name, and Sequence of the Application Components for Phase II Invited Full Proposals

**Document format:** Aside from the SF-424S, the IMLS Supplementary Information Form (including Abstract), and the IMLS Library - Discretionary Program Information Form, which are created in Grants.gov Workspace, all application components must be submitted as PDF documents.

**Page limits:** Note the page limits listed in the table above. IMLS will remove any additional pages and will not send them to reviewers as part of your application.

**Naming convention:** Use the naming conventions indicated in the table above. **IMPORTANT:** Attachment file names are limited to the following characters: A-Z, a-z, 0-9, underscore (\_), hyphen (-), space, period (.). If attachment file names use any other characters, the application may be rejected by Grants.gov.

**Attachment order:** In Grants.gov, attach all application components in the sequence listed in the table above. Use all available spaces in the “Attachments Form” first. Attach any additional application components using the “Other Attachment File(s)” boxes.

**Complete applications:** Use the table above as a checklist to ensure that you have created and attached all necessary application components.

### D3c. Instructions for Required Documents for Phase II Invited Full Proposals

#### 1. The Application for Federal Domestic Assistance/Short Organizational Form (SF-424S)

The SF-424S is part of the application package that you complete in Grants.gov Workspace. [Click here for instructions on completing the SF-424S.](#)

#### 2. IMLS Supplementary Information Form (including Abstract)

The IMLS Supplementary Information Form (including Abstract) is part of the application package that you complete in Grants.gov Workspace. [IMLS Supplementary Information Form \(including Abstract\).](#)

#### 3. IMLS Library – Discretionary Program Information Form

The IMLS Library - Discretionary Program Information Form is part of the application package that you complete in Grants.gov Workspace. [IMLS Library - Discretionary Program Information Form.](#)

#### 4. Organizational Profile

Create a one-page Organizational Profile for the lead applicant, addressing the following, and save it as a PDF.

- Your organization's mission or statement of purpose, noting the source, approving body, and date of the official document in which it appears
- Your organization's governance structure if your library is located within a parent organization or if your organization is a nonprofit affiliated with a library
- Your service area (i.e., communities and/or audiences served, including size, demographic characteristics, and geographic area)
- A brief history of your organization, focusing on the organizational unit that will be directly involved in carrying out the work

If your proposal is selected for funding, the Organizational Profile may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

#### 5. Invited Full Proposal Narrative

Write a Narrative that addresses the questions listed under each section heading, and save it as a PDF.

- Limit the Narrative to ten numbered pages. We will remove any additional pages, and we will not send them to reviewers as part of your application.
- Consider each Narrative question and be mindful of each section's review criteria as listed in [Section E1b](#).
- Be clear and concise with minimal use of technical jargon and acronyms.
- Include references throughout your Narrative to any Supporting Documents that provide supplementary material.
- Make sure your organization's name appears at the top of each page.
- Use at least 0.5-inch margins on all sides and a font size of at least eleven points.



If your proposal is selected for funding, the Narrative may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

Organize your Narrative using the section headings of Project Justification, Project Work Plan, Diversity Plan, and Project Results. Consider the Laura Bush 21<sup>st</sup> Century Librarian Program goals and objectives ([Section A2](#)) as you develop the Invited Full Proposal Narrative.

A summary of the Diversity Plan is a required element for each Invited Full Proposal Narrative.

Narratives for Early Career Research Development and Applied Research projects must also include clearly defined research questions. See [Guidance for Research Applications](#).

### **Project Justification**

- Which program goal and associated objective(s) of the Laura Bush 21<sup>st</sup> Century Librarian Program will your project address (see [Section A2](#))?
- What current, broadly significant need, problem, or challenge does your proposal address, and how was it identified? Describe how you have used demographic information, economic circumstances, and other relevant data from reliable sources to define the need, problem, or challenge and develop the scope for the project.
- Who is the target group for your project? “Target group” refers to those who will be most immediately and positively affected by your project. Identify the number of individuals in the target group or in each target group, if you identify more than one.
- Who are the ultimate beneficiaries for this project? “Beneficiaries” refers to those who are likely to be aided in the long-term by your project. They may or may not be the same as your “target group.” Identify the number of individuals who will benefit from your project in the long term, if reliable and defensible counts are possible. Otherwise describe the characteristics of the beneficiaries you expect to be served eventually by your project.
- How does this proposed project differ from, complement, or build upon existing theory, scholarship, and practice?
- *For Early Career Research Development applicants only:* How does this work fit within the Project Director’s long-term research agenda?

### **Project Work Plan**

- What specific activities will you carry out and in what sequence?
- Who will plan, execute, and manage your project?
- What time, financial, personnel, and other resources will you need to carry out the activities?
- How have the perspectives and contributions of the target group(s) been incorporated into the Project Work Plan and how will ongoing external input, validation, and consensus building be accommodated in the project?
- How will you track your progress toward achieving your intended results?
- How and with whom will you disseminate your project findings, coursework, or training content?

*Additional questions for Applied Research and Early Career Research Development proposals only. See [Guidance for Research Applications](#) for further details.*

- What are your research questions, methods, and theoretical framing?
- What is the relevance of your proposed research for current practice?
- What type of data will you gather for your research (separate from that identified in your Performance Measurement Plan)?
- How will you collect, analyze, and use the data?
- Does your study require Institutional Review Board (IRB) approval? If so, what steps have you taken to secure IRB approval?

#### **Diversity Plan**

- How will you include a diversity of perspectives and practices in the project?
- How will the relevant participants and communities be involved in defining the challenges or opportunities and creating and implementing the project?
- How will the project strengthen the field's commitment to diversity, equity, and inclusion practices and contribute to the recruitment, development, and/or retention of a diverse workforce of library and archives professionals?

#### **Project Results**

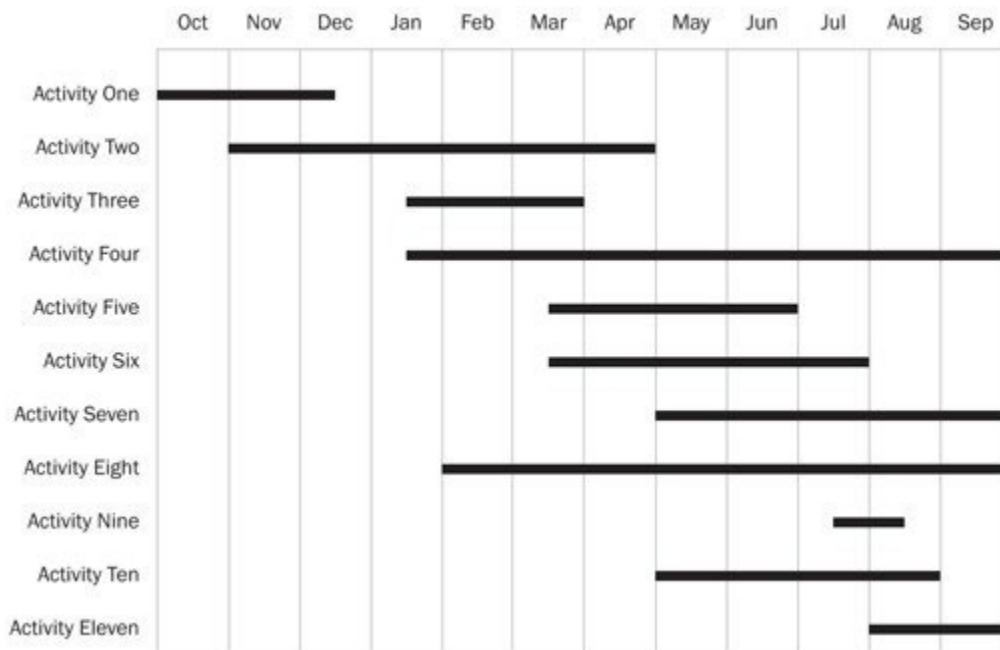
- What are your project's intended results, and how will they address the need, problem, or challenge you have identified? Be sure to address this question from the dual perspectives of advancing knowledge and understanding and ensuring that the federal investment made through this grant generates benefits to society.
- How will you ensure project deliverables are readily adaptable, generalizable, and usable by other institutions and communities nationally?
- How will you sustain the benefit(s) of your project beyond the conclusion of the period of performance?

See [Section E1b](#) for the review criteria for Phase II Invited Full Proposals.

Please be advised that reviewers may also choose to visit your organization's website, as listed on the SF-424S form provided with your application.

## **6. Schedule of Completion**

The Schedule of Completion should reflect each major activity identified in your application Narrative and the project dates identified on the SF-424S and the IMLS Budget Form. It should show when each major project activity will start and end. The schedule must be no longer than one page per project year. See the sample Schedule of Completion below. Save this document as a PDF.



If your proposal is selected for funding, the Schedule of Completion may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

## 7. Performance Measurement Plan

The Performance Measurement Plan should show how you will monitor and assess your performance as a grantee from the perspectives of Effectiveness, Efficiency, Quality, and Timeliness for your overall project (see [Section A4](#)).

For each measure, identify what data you will collect from what source, the method you will use to collect it, and according to what schedule. The chart below provides sample statements for each measure and a space to record your own. [Click here for a fillable version of this chart](#) (DOCX, 25KB), which you are welcome, but not required, to use. Limit your Performance Measurement Plan to two pages and save your document as a PDF.

If your proposal is selected for funding, the Performance Measurement Plan may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

| Performance Measure                                                                                                                                       | Data We Will Collect<br>(e.g., counts, costs, weights, volumes, temperatures, percentages, hours, observations, opinions, feelings)                                                                                                                                                                                                                                                                 | Source of Our Data<br>(e.g., members of the target group, project staff, stakeholders, internal/external documents, recording devices, databases) | Method We Will Use<br>(e.g., survey, questionnaire, interview, focus group, informal discussion, observation, assessment, document analysis) | Schedule<br>(e.g., daily, weekly, monthly, quarterly, annually, beginning/end) |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|
| <b>Effectiveness:</b> The extent to which activities contribute to achieving the intended results                                                         | <i>Example:</i> At the end of each month, using a report prepared by the registrar, we will compare the cumulative count of rehoused objects against the total number proposed for the project.<br><i>Example:</i> At the end of each project year, our external consultant will present results of the ongoing observation-based evaluation and compare them against our intended project results. |                                                                                                                                                   |                                                                                                                                              |                                                                                |
| <b>Efficiency:</b> How well resources (e.g., funds, expertise, time) are used and costs are minimized while generating maximum value for the target group | <i>Example:</i> Twice per year, we will assess our expenditures for program supplies on a per-person-served basis.<br><i>Example:</i> Each quarter, we will calculate the dollar value of volunteer hours contributed to the project as recorded in our online volunteer management system.                                                                                                         |                                                                                                                                                   |                                                                                                                                              |                                                                                |
| <b>Quality:</b> How well the activities meet the requirements and expectations of the target group                                                        | <i>Example:</i> At the beginning, the mid-point, and end of the project, we will administer a satisfaction survey to staff who have participated in the training.<br><i>Example:</i> We will gather opinions about our online services through questionnaires provided to every 20 <sup>th</sup> user.                                                                                              |                                                                                                                                                   |                                                                                                                                              |                                                                                |
| <b>Timeliness:</b> The extent to which each task/activity is completed within the proposed timeframe                                                      | <i>Example:</i> Every six months, our Project Director will assess the fit between our proposed Schedule of Completion and actual activity completion dates.<br><i>Example:</i> Each quarter, each project partner will submit to our Project Director a templated report showing their progress on meeting project milestones.                                                                     |                                                                                                                                                   |                                                                                                                                              |                                                                                |

## 8. IMLS Budget Form

Download and complete the current [IMLS Budget Form](#) (PDF, 1.1MB). [Click here for instructions on completing it.](#)

## 9. Budget Justification

Write a Budget Justification to identify each expense and show the method of cost computation used to determine each dollar amount, including any that you may have consolidated and summarized on the IMLS Budget Form. Save this document as a PDF. [Click here for detailed instructions.](#)

## 10. List of Key Project Staff and Consultants

Write a one-page list of only those staff and consultants whose expertise is essential to the success of the project and save it as a PDF. Do not list all staff involved in the project. If you cannot identify key project staff by the application deadline, then list the position title(s) instead. This list must include the Project Director listed in Item 7 of the SF-424S.

## 11. Resumes of Key Project Staff and Consultants

Provide a resume of no more than two pages for each individual whose expertise is essential to the success of the project. Save all the resumes in a single PDF. You must include the resume of the Project Director listed in Item 7 of the SF-424S. If you cannot identify key project staff by the application deadline, then instead of a resume, provide position description(s) including the

qualities, range of experience, and education necessary to successfully implement and complete project activities.

## 12. Digital Products Plan

IMLS defines digital products very broadly to include digital content, resources, assets, software, and/or datasets. In a Digital Products Plan of no more than two pages, address each of the following for each type of major digital output you will create during your project.

- **Type:** What types of digital products will you create?
- **Availability:** How will you make your digital products openly available (as appropriate)?
- **Access:** What rights will you assert over your digital products, and what limitations, if any, will you place on their use? Will your products implicate privacy concerns or cultural sensitivities, and if so, how will you address them?
- **Sustainability:** How will you ensure the sustainability of your digital products?

[Click here for Guidance for Creating a Digital Products Plan.](#) Save the document as a PDF.

If your proposal is selected for funding, the Digital Products Plan may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

[\(Back to Table of Application Components\)](#)

## D3d. Conditionally Required Documents

These are documents that may be required, depending upon the circumstances. Please see the table below.

Failure to provide a Conditionally Required Document will result in your application's being considered incomplete, and it may be rejected from further consideration.

| If you are:                                                                                                                      | Then you must provide:                                                                                                                                     | Notes:                                                                                                                                                                                                                                                        |
|----------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Applying as a private, nonprofit institution, as indicated by choosing "M" as the Applicant Type code in 5d of the SF-424S form. | A copy of the IRS letter indicating your eligibility for nonprofit status under the applicable provision of the Internal Revenue Code of 1954, as amended. | <p>You must submit this letter with each application whether or not you have submitted it with other applications in the current year or in previous years.</p> <p>We will not accept a letter of State sales tax exemption as proof of nonprofit status.</p> |

|                                                                                                                |                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                  |
|----------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Using a federally negotiated indirect cost rate in your budget.                                                | A current copy of your Final Federally Negotiated Indirect Cost Rate Agreement.                                                                                                                      | If you do not have a current negotiated (including provisional) indirect cost rate and elect to charge a de minimis rate of 10 percent of Modified Total Direct Costs (see 2 C.F.R. part 200, including 2 C.F.R. §§ 200.1 and 200.414(f)), you do not need to provide any documentation.                         |
| Submitting an Early Career Research Development project proposal, as described in <a href="#">Section A3</a> . | A letter of departmental endorsement, verifying that the Project Director meets the Early Career Research Development eligibility criteria.                                                          | By the deadline for submission of Invited Full Proposals, the Project Director must: <ul style="list-style-type: none"> <li>• hold a doctoral degree;</li> <li>• be untenured tenure-track, library and information science faculty; and</li> <li>• have both teaching and research responsibilities.</li> </ul> |
| Submitting an Early Career Research Development or an Applied Research project proposal.                       | A Data Management Plan (two pages max.)<br><br>Explain how you will manage, share, preserve, document, and enable reuse of the information and research products you will create during the project. | See Appendix Five for guidance on creating a <a href="#">Data Management Plan</a> .<br><br>If your proposal is selected for funding, the Data Management Plan may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.       |

[\(Back to Table of Application Components\)](#)

## D3e. Supporting Documents

Applicants may submit a reasonable number of supporting documents that supplement the Narrative in support of the project description. Supporting Documents should help IMLS staff and reviewers envision the project in greater detail, but they should not be used to introduce new topics nor to continue answers to the Narrative questions. Give each document a clear, descriptive title at the top of the first page. You may wish to consider the following:

- Bibliography or references relevant to your proposed project design or evaluation strategy
- Letters of commitment from partners, consultants, or others who will work closely with you on your project, receive grant funds, or contribute funds to the completion of project activities

- Letters of support from experts and stakeholders
- Reports from planning activities
- Contractor quotes
- Equipment specifications
- Needs assessments or asset maps developed specifically for this project or community

[\(Back to Table of Application Components\)](#)

## D4. Registration Requirements

Before submitting an application, an applicant organization must have a current and active Dun and Bradstreet Universal Numbering System (D-U-N-S®) Number; a current and active System for Award Management (SAM) registration; and an active Grants.gov registration with an approved Authorized Organization Representative (AOR). Check materials and registrations well in advance of the application deadline to ensure that they are accurate, current, and active.

Organizations must maintain current information in SAM, including information on their immediate and highest-level owner and subsidiaries, as well as on all of predecessors that have been awarded a federal contract or federal financial assistance within the last three years, if applicable. IMLS may reject an application if the SAM registration is not active and current at the time of submission. IMLS may determine that an applicant without an active and current SAM registration at the time an award is made is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

### D4a. Unique Entity Identifier

The Unique Entity Identifier (UEI) number is a non-proprietary alphanumeric identifier assigned to all entities (public and private companies, individuals, institutions, or organizations) who register to do business with the Federal Government. The UEI is replacing the D-U-N-S® Number and is requested in, and assigned by, the System for Award Management (SAM). Award recipients must inform any subrecipients that the recipient may not make a subaward unless the subrecipient has also obtained a UEI. [Click here to learn more about planned UEI updates.](#)

### D4b. System for Award Management (SAM)

The System for Award Management (SAM) is a federal repository that centralizes information about grant applicants and recipients. There is no fee to register with SAM. [Click here to learn more about SAM registration.](#)

### D4c. Grants.gov

Grants.gov is the centralized location for grant seekers to find and apply for federal funding opportunities.

Applicants must register with Grants.gov prior to submitting an application package. The multistep registration process generally cannot be completed in a single day. If your organization is not already registered, allow several weeks before the application deadline to complete this one-time process.

**Do not wait until the day of the application deadline to register.**

The Grants.gov user ID and password obtained during the registration process are required to submit an application when it is complete.

[Click here to learn more about Grants.gov registration and tips for using Grants.gov.](#)



## D5. Submission Dates and Times

All organizations must submit their applications for funding using Grants.gov Workspace. Do not submit through email or postal mail to IMLS.

For the Laura Bush 21<sup>st</sup> Century Librarian Program, Grants.gov will accept Preliminary Proposal applications through 11:59 p.m. U.S. Eastern Time on September 24, 2021. IMLS plans to extend invitations to submit full proposals in February 2022. Invited Full Proposal applications will be due through Grants.gov by 11:59 p.m. U.S. Eastern Time on March 25, 2022.

Under certain circumstances, IMLS allows an extension of grant application deadlines for adversely affected applicant organizations that are located in counties listed in Emergency Declarations and/or Major Disaster Declarations. See [Application Deadlines](#) for further information.

IMLS strongly recommends that applicants obtain a D-U-N-S® number, register with SAM and Grants.gov, and complete and submit applications early. IMLS makes grants only to eligible applicants that submit complete applications, including attachments, through Grants.gov, on or before the deadline, as indicated by the date stamp generated by Grants.gov.

Visit [Grants.gov Support](#), email [support@grants.gov](mailto:support@grants.gov), or call Grants.gov Applicant Support at 1-800-518-4726 for technical assistance. Grants.gov Applicant Support is available 24 hours a day, seven days a week, except for federal holidays.

Grants.gov will generate a series of emails confirming the status of each application. Applicants can check the status of their application(s) in Grants.gov by using “[Track My Application](#).” For further details, visit [Check Application Status](#) at Grants.gov.

## D6. Intergovernmental Review

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

## D7. Funding Restrictions

### D7a. Allowable and Unallowable Costs

Applicants may use IMLS funds and cost share only for allowable costs as found in IMLS and OMB government-wide cost-principle rules. Please consult 2 C.F.R. part 200 and 2 C.F.R. part 3187 for additional guidance on allowable costs.

The following list includes some examples of generally allowable costs, both for IMLS funds and for cost share (if applicable), under this announcement:

- personnel salaries, wages, and fringe benefits
- travel expenses for key project staff and consultants
- materials, supplies, software, and equipment related directly to project activities
- adaptive and/or assistive technologies and other resources and services to improve accessibility for persons with disabilities
- third-party costs
- publication design and printing
- program evaluation
- staff and volunteer training
- paid internships/fellowships

- indirect or overhead costs

Applicants must explain all proposed expenses in the Budget Justification.

The following list includes some examples of unallowable costs, both for IMLS funds and for cost share (if applicable), under this announcement:

- general fundraising costs, such as development office staff or other staff time devoted to general fundraising
- contributions to endowments
- general operating support
- acquisition of collections (see 2 C.F.R. § 3187.15(b))
- general advertising or public relations costs designed solely for promotional activities other than those related to the specific project
- construction or renovation of facilities (generally, any activity involving the construction trades is not an allowable cost)
- social activities, ceremonies, receptions, or entertainment

*If you have questions about whether specific activities are allowable, contact IMLS staff for guidance.*

## **D7b. Costs for Third Parties**

When a project requires the payment of federal funds to third parties (such as partners, consultants, collaborators, vendors, and/or service providers), it is the applicant organization's responsibility to determine whether a third party should be characterized as a subrecipient or a contractor. The characterization must be reflected in the terms of each agreement made with each third party. (See 2 C.F.R. § 200.1 for definitions of *contract*, *contractor*, *subaward*, and *subrecipient*; see also 2 C.F.R. § 200.331 (Subrecipient and contractor determinations).) IMLS grant funds may not be provided to any federal agency serving as a third party.

## **D7c. Indirect Costs**

An applicant can choose to:

- use a rate not to exceed their current indirect cost rate already negotiated with a federal agency;
- use an indirect cost rate proposed to a federal agency for negotiation, but not yet finalized, as long as it is finalized by the time of the award;
- use a rate not to exceed 10 percent of the Modified Total Direct Costs (MTDC) if the organization currently does not have a federally negotiated indirect cost rate and is not subject to other requirements (e.g., for States and local governments and Indian tribes); or
- not include any indirect costs.

[Click here for further information on indirect costs.](#)

## E. Application Review Information

### E1. Review Criteria

IMLS instructs reviewers to evaluate applications according to the review criteria listed in this section and to consider all Required, Conditionally Required, and Supporting Documents as listed in [Section D2a](#) and [Section D3a](#).

Cost share is an eligibility criterion and is not considered in the review of applications. Cost share requirements for this grant program are addressed in [Section C2](#).

#### E1a. Phase I Preliminary Proposals

IMLS will instruct reviewers to consider the following when evaluating Preliminary Proposals. Reviewers will consider all application components listed in [Section D2a](#).

- How well does the proposal address the goals and objectives of the grant program (see [Section A2](#))?
- What elements are in place and what elements are missing for successful execution of the proposed project? What recommendations do you have for improving the proposal?
- Considering the topic, project type selection, amount of funds requested, and scope of potential impact, should the applicant be invited to submit a full proposal at this time? Why or why not?

#### E1b. Phase II: Invited Full Proposals

IMLS will instruct reviewers to consider the following when evaluating Invited Full Proposals. Reviewers will consider all application components listed in [Section D3a](#).

##### Project Justification

- Has the applicant selected an appropriate program goal and one or more associated objectives of the Laura Bush 21<sup>st</sup> Century Librarian Program described in [Section A2](#)?
- How well is the identified need, problem, or challenge current, broadly significant, clearly described, and fittingly supported by relevant data? Do the applicant's choices and use of specific data to define the problem to be addressed demonstrate a sufficient ability to manage and analyze data?
- Has the applicant appropriately defined the target group(s) and beneficiaries, as applicable, for this work?
- Does the applicant clearly articulate how the proposed work differs from, complements, or builds upon existing theory, scholarship, and practice?

*For Early Career Research Development proposals only:*

- Is the Project Director's long-term research agenda thoroughly described, and does the proposed research fit within that agenda?

##### Project Work Plan

- Are the proposed activities informed by appropriate theory and practice?
- Do the identified staff, partners, and consultants possess the experience and skills necessary to complete the work?

- Are the time, financial, personnel, and other resources identified appropriate for the scope and scale of the project?
- Is there evidence that the perspectives and contributions of the target group(s) have been incorporated into the Project Work Plan? Does the project design allow for ongoing external input, validation, and/or consensus building?
- Is the proposed Performance Measurement Plan likely to generate the required measures of Effectiveness, Efficiency, Quality, and Timeliness?
- Does the Digital Products Plan reflect an adequate understanding of appropriate practices and standards for creating and managing the types of digital products proposed?
- Are the methods proposed for dissemination or reuse of project findings, coursework, or training content likely to be effective?

*Additional questions for Applied Research and Early Career Research Development project proposals only:*

- Are the proposed research questions, methods, and theoretical framing appropriate for addressing the identified need, problem, or challenge?
- Is the research informed by current practice and does it have the potential to produce generalizable results that could advance professional practice?
- Are the selected methods for data collection and analysis appropriate for the project?
- Is the approach to securing Institutional Review Board (IRB) approval appropriate?
- Is the Data Management Plan for managing, sharing, preserving, documenting, and enabling reuse of the information and research products created during this project appropriate?
- Is the dissemination and communication plan comprehensive in terms of broad reach to practitioners and other communities of interest?

#### **Diversity Plan**

- What specific activities in the proposal will contribute to diversity, equity, and inclusion practices in the library and archival fields?
- Have the relevant participants and communities been included in defining the challenges or opportunities and implementing the project?
- Will the project strengthen the field's commitment to diversity, equity, and inclusion practices and contribute to the recruitment, development, and/or retention of a diverse workforce of library and archives professionals?

#### **Project Results**

- How well will the project advance knowledge and understanding by building greater knowledge, skills, and abilities in the library and archives professions?
- Is it clear that the federal investment made through this grant will generate identifiable benefits to society?
- Are project deliverables readily adaptable, generalizable, and usable by other institutions and communities nationally?

- Is the plan to sustain the benefits of the project beyond the conclusion of the period of performance reasonable and practical?

## E2. Review and Selection Process

IMLS uses a peer review process to evaluate all complete applications from eligible institutions. Reviewers are professionals in the field with relevant knowledge and expertise in the types of project activities identified in the applications. IMLS instructs reviewers to evaluate applications according to the review criteria. Peer reviewers must comply with IMLS's federal ethics and conflicts of interest requirements.

The Director takes into account the input provided by the review process and makes final funding decisions consistent with the purposes of the agency's mission and programs.

## E3. Designated Integrity and Performance System

IMLS, prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold (currently \$250,000 but periodically adjusted), is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. § 2313 and 41 U.S.C. § 134).

An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered.

IMLS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in considering the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.206 (Federal awarding agency review of risk posed by applicants).

## E4. Anticipated Announcement and Award Dates

IMLS will not release information about the status of an application until the applications have been reviewed and all deliberations are complete at the conclusion of each phase. IMLS expects to notify both successful and unsuccessful applicants of (1) invitation decisions by email in February 2022 and (2) final funding decisions by email in July 2022.

## F. Award Administration Information

### F1. Federal Award Notices

IMLS will notify both successful and unsuccessful applicants of funding decisions by email.

### F2. Administrative and National Policy Requirements

Organizations that receive IMLS grants or cooperative agreements are subject to [2 C.F.R. part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#), [2 C.F.R. part 3187](#), the [IMLS General Terms and Conditions for IMLS Discretionary Grant and Cooperative Agreement Awards](#) (PDF, 460KB) and the [IMLS Assurances and Certifications](#).

Organizations that receive IMLS funding must be familiar with these requirements and comply with applicable law.

Applicants for federal funds must certify that they are responsible for complying with certain nondiscrimination, debarment and suspension, drug-free workplace, and lobbying laws. These are

set out in more detail, along with other requirements, in the [IMLS Assurances and Certifications](#). By submitting the application, which includes the [IMLS Assurances and Certifications](#), applicants certify that they are in compliance with these requirements and that they will maintain records and submit any reports that are necessary to ensure compliance. Failure to comply with these statutory and regulatory requirements may result in the suspension or termination of an award and require that the recipient return funds to the government. For information about award termination, please see the IMLS General Terms and Conditions for IMLS Discretionary Grant and Cooperative Agreement Awards and 2 C.F.R. § 200.340.

## F3. Reporting

Recipients must comply with the following reporting requirements.

Interim and final financial and performance reports are due according to the reporting schedule that is part of the official award notification. Grantees must submit reports using the IMLS electronic grants management system. In support of the agency's commitment to open government, interim and final performance reports may be made accessible on the IMLS website to engage the public in communities of practice and to inform application development and grant-making strategies.

For details, please see the [Manage Your Award: Grant Administration](#) page on the IMLS website.

Grantees must also comply with 2 C.F.R. §§ 180.335 and 180.350 and 2 C.F.R. part 3185 with respect to providing information regarding all debarment, suspension, and related offenses, as applicable.

If the federal share of the award is more than \$500,000 over the period of performance, recipients should refer to the post-award reporting requirements reflected in 2 C.F.R. part 200, Appendix XII – Award Term and Condition for Recipient Integrity and Performance Matters.

## G. Contacts

[Click here for IMLS staff contact information for this program](#). IMLS staff are available by phone and email to answer programmatic and administrative questions relating to this grant program. IMLS staff also host webinars to introduce potential applicants to funding opportunities. [Click here for a list of webinars and instructions for accessing them](#).

Visit the [Federal Service Desk](#) or call 1-866-606-8220 for questions about registering or renewing your registration with login.gov or SAM.gov. Hours of operation are Monday through Friday, 8 a.m. to 8 p.m. Eastern Time.

Visit [Grants.gov Support](#), email [support@grants.gov](mailto:support@grants.gov), or call Grants.gov Applicant Support at 1-800-518-4726 for assistance with software issues, registration issues, and technical problems. Grants.gov Applicant Support is available 24 hours a day, seven days a week, except for federal holidays.

Be sure to obtain a case number when calling the Federal Service Desk or Grants.gov for support.

## H. Other Information

### H1. Acknowledging IMLS Support

Grantees must include an acknowledgement of IMLS support in all grant products, publications, websites, and presentations developed with IMLS funding. All work products should reference IMLS



and include the associated grant award number(s). [Click here for the Grantee Communications Kit](#), which provides guidance for fulfilling these requirements.

## H2. Disclosure of Information in Applications

IMLS may share grant applications, products, and reports to further the mission of the agency and the development of museum, library, and information services.

As a general practice, and except for information that is privacy-protected, information contained in IMLS applications that receive funding may be made public. Please identify any information you deem confidential and/or proprietary and seek to have protected.

## H3. Conflict of Interest Requirements

As non-federal entities, award recipients must follow IMLS conflict of interest policies for federal awards. [Click here for more information about IMLS conflict of interest requirements](#).

## H4. Additional Information about IMLS

Visit the [IMLS website](#) for additional information on IMLS and IMLS activities.

## H5. IMLS Obligations to Make Awards

IMLS is not obligated to make any federal award or commitment as a result of this announcement.

## H6. Peer Review

Any individual who is interested in serving as a peer reviewer is welcome to enter contact information and identify their experience and expertise through the IMLS [online reviewer application portal](#). IMLS staff will notify the individuals who are identified as potential reviewers by email prior to the next review period to confirm availability.

## H7. Copyright Information

Awardees may copyright any work that is subject to copyright and was developed under an award or for which ownership was purchased. However, IMLS reserves, for federal government purposes, a royalty free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS encourages awardees to make their works produced with IMLS support widely available, including through the use of open licenses.

## H8. Application Completion Time

Complete applications include the elements listed in the Table of Application Components in [Section D2a](#) and [Section D3a](#). IMLS estimates the average amount of time needed for one applicant to complete the narrative portion of a Preliminary Proposal to be 15 hours and for an Invited Full Proposal to be 45 hours. This includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and writing and reviewing the answers.

IMLS estimates that it will take an average of 15 minutes per response each for the IMLS Supplementary Information Form and the IMLS Library - Discretionary Program Information Form and three hours per response for the IMLS Budget Form.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services at 955 L'Enfant Plaza North, SW, Suite 4000, Washington, DC, 20024-2135, and to the Office of Management and Budget, Paperwork Reduction Project (3137-0091), Washington, DC, 20503.



## H9. PRA Clearance Number

OMB Control #: 3137-0091, Expiration date: 6/30/2024

## Appendix One – IMLS Assurances and Certifications

As a federal agency, IMLS is required to obtain from all applicants certifications, including those regarding Nondiscrimination, Debarment and Suspension, Federal Debt Status, and Drug-Free Workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a “Disclosure of Lobbying Activities” form (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. The authorized representative must review the statement and provide the certification in item 9 on the SF-424S.

### Assurances Statement

By submitting the application, the authorized representative, on behalf of the applicant, assures and certifies that, should a federal award be made, the applicant will comply with the statutes outlined below and all related IMLS regulations (for example, see 2 C.F.R. Chapter XXXI and 45 C.F.R. 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 representative whose signature appears on the application form.

## Certifications Required of All Applicants

### Financial, Administrative, and Legal Accountability

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

The authorized representative, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with applicable law. The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the provisions of applicable OMB Circulars and regulations.

### Nondiscrimination

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

1. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin (note: as clarified by Exec. Order No. 13166, the applicant must take reasonable steps to ensure that limited English proficient (LEP) persons have meaningful access to the applicant's programs (see IMLS guidance at 68 Federal Register 17679, April 10, 2003));

2. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*, including § 794), which prohibits discrimination on the basis of disability (note: IMLS applies the regulations in 45 C.F.R. part 1170 in determining compliance with Section 504 as it applies to recipients of federal assistance);
3. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, §§ 1685–1686), which prohibits discrimination on the basis of sex in education programs;
4. The Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age; and
5. The requirements of any other nondiscrimination statute(s) which may apply to the application.

### **Debarment and Suspension**

The applicant shall comply with 2 C.F.R. part 3185 and 2 C.F.R. part 180, as applicable. The authorized representative, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant nor any of its principals:

1. are presently excluded or disqualified;
2. have been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. § 180.800(a) or had a civil judgment rendered against it or them for one of those offenses within that time period;
3. are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses listed in 2 C.F.R. § 180.800(a); or
4. have had one or more public transactions (federal, state, or local) terminated within the preceding three years for cause or default.

Where the applicant is unable to certify to any of the statements in this certification, the authorized representative, on behalf of the applicant, shall attach an explanation to the application.

The applicant, as a primary tier participant, is required to comply with 2 C.F.R. 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 C.F.R. 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.

As noted in the preceding paragraph, applicants who plan to use IMLS awards to fund contracts should be aware that they must comply with the communication and verification requirements set forth in the above Debarment and Suspension provisions.

### **Federal Debt Status**

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

### **Drug-Free Workplace**

The authorized representative, on behalf of the applicant, certifies, as a condition of the award, that the applicant will or will continue to provide a drug-free workplace by complying with the requirements in 2 C.F.R. part 3186 (Requirements for Drug-Free Workplace (Financial Assistance)). In particular, the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of 2 C.F.R. part 3186, which adopts the Government wide

implementation (2 C.F.R. part 182) of Sections 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. §§ 701–707). This includes, but is not limited to: making a good faith effort, on a continuing basis, to maintain a drug-free workplace; publishing a drug-free workplace statement; establishing a drug-free awareness program for employees; taking actions concerning employees who are convicted of violating drug statutes in the workplace; and identifying (either at the time of application or upon award, or in documents kept on file in the recipient's offices) all known workplaces under federal awards.

### **Trafficking in Persons**

The authorized representative, on behalf of the applicant, certifies, as a condition of the award, that the applicant will comply with the trafficking in persons requirements that are set out in the General Terms and Conditions for IMLS Discretionary Awards (2 C.F.R. § 175.15 (Award Term)).

### **Certification Regarding Lobbying Activities**

(Applies to Applicants Requesting Funds in Excess of \$100,000) (31 U.S.C. § 1352)

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

- (a) No federal appropriated funds have been paid or will be paid, by or on behalf of the authorized representative, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant, as provided in 31 U.S.C. § 1352) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the authorized representative shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) The authorized representative shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is placed when the transaction is made or entered into. Submission of this certification is a prerequisite for making or entering into the transaction imposed by 31 U.S.C. § 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **General Certification**

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program.

## Certifications Required for Certain Projects

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

### Subawards

Under IMLS regulations at 2 C.F.R. § 3187.14, a recipient may not make a subaward unless expressly authorized by IMLS. A recipient may contract for supplies, equipment, and services, subject to applicable law, including but not limited to applicable Office of Management and Budget Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards set forth in 2 C.F.R. part 200.

### Native American Human Remains and Associated Funerary Objects

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 *et seq.*), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

### Historic Properties

The authorized representative, on behalf of the applicant, certifies that the applicant will assist the awarding agency in ensuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f, see 54 U.S.C. § 306108), Exec. Order No. 11593, and any related applicable preservation laws.

### Environmental Protections

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

- a. institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 *et seq.*) and Exec. Order No. 11514;
- b. notification of violating facilities pursuant to Exec. Order No. 11738;
- c. protection of wetlands pursuant to Exec. Order No. 11990, as amended by Exec. Order No. 12608;
- d. evaluation of flood hazards in floodplains in accordance with Exec. Order No. 11988, as amended (see Exec. Order No. 12148);
- e. assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 *et seq.*);
- f. conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 *et seq.*);
- g. protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f *et seq.*); and
- h. protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. § 1531-1543).

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

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

### **Research on Human Subjects**

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

### **Research on Animal Subjects**

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

For further information on these certifications, contact IMLS at 955 L'Enfant Plaza North, SW, Suite 4000, Washington, DC, 20024-2135.

## **Appendix Two – Guidance for Required Registrations**

### **Working with D-U-N-S® Numbers and Unique Entity Identifiers**

Until recently, all non-federal entities were required to obtain a Dun and Bradstreet Data Universal Numbering System (D-U-N-S®) Number in order to apply for, receive, and report on federal awards. The Unique Entity Identifier (UEI) is replacing the D-U-N-S® Number and will be requested in, and assigned by, the System for Award Management (SAM). Applicants with active SAM registrations can find their assigned UEI in their SAM records. Applicants without active SAM registrations will need D-U-N-S® Numbers to register in SAM.

Visit <http://www.dnb.com/duns-number.html> or call 1-866-705-5711 to look up, request, or update the information associated with an organization's D-U-N-S® Number. D-U-N-S® Numbers are free and can be created in one or two business days.

For more information about the transition from D-U-N-S® to UEI, visit [gsa.gov/entityid](https://gsa.gov/entityid).

### **Registering with SAM**

The System for Award Management (SAM) is a federal repository that centralizes information about grant applicants and recipients and is free to all users. Applicants must be registered with SAM before registering with Grants.gov. [Click here to learn how to check on an organization's registration status in SAM.](#)

Representatives of organizations that must register with SAM for the first time must begin by creating a SAM user account through [login.gov](https://login.gov). [Click here to access instructions and FAQs.](#) Then proceed to the registration process.

IMLS recommends that applicants allow several weeks to complete the SAM registration and to secure a CAGE Code.

Applicants and recipients must renew their registrations in SAM at least every 12 months—and sooner if their information changes. An expired registration will prevent an organization from submitting applications via Grants.gov and receiving awards or payments. Grant payments will be made to the bank account that is associated with the organization's SAM registration.

## Registering with Grants.gov

Grants.gov is a website owned and operated by the Federal Government and is free to all users. Applicants must register with Grants.gov before submitting an application to IMLS. [Click here to learn more about the multistep registration process](#). Applicants should make sure that the information associated with their D-U-N-S® Numbers is accurate and that the SAM registration is current and active. Allow several weeks to complete the Grants.gov registration.

After an organization registers with Grants.gov and creates an Organizational Applicant Profile, the request for the organization's Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log into Grants.gov and assign the appropriate roles to individuals within the organization. This will include the Authorized Organization Representative (AOR) which will give permission to complete and submit applications on behalf of the organization. [Click here for more detailed instructions for creating a profile on Grants.gov](#).

Designating more than one Authorized Organization Representative (AOR) when registering in Grants.gov will help avoid last-minute crises in the event that a single AOR is unavailable when the organization is ready to submit the application. It is also important to update the contact information and password in Grants.gov whenever an AOR changes.

Visit [Grants.gov Support](#), email [support@grants.gov](mailto:support@grants.gov), or call Grants.gov Applicant Support at 1-800-518-4726 for technical assistance. Grants.gov Applicant Support is available 24 hours a day, seven days a week, except for federal holidays. [Click here for Grants.gov Applicant FAQs](#) with links to additional applicant resources.

## Working with Grants.gov Workspace

Grants.gov applicants apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different forms within an application. For each funding opportunity, applicants can create individual copies of a workspace to complete an application. [Click here for an overview of Grants.gov Workspace](#) with links to interactive graphics, videos, and Help Articles.

# Appendix Three – Guidance for Completing Forms and Other Application Components

## Grants.gov SF-424S Form

The SF-424S Form, or the Application for Federal Domestic Assistance/Short Organizational Form, is part of the application package downloaded from Grants.gov.

### Items 1 through 4

These items are automatically populated by Grants.gov.

### Item 5. Applicant Information

- a. **Legal Name:** Enter your organization's legal name as it appears in your SAM registration. This is the organization with the authority to apply directly for funding in this program. If you have



an organizational unit that will be carrying out the project, be sure that it is specified as the organizational unit on the IMLS Supplementary Information Form.

- b. **Address:** Enter your legal applicant's address as it appears in your SAM registration.
- c. **Web Address:** Enter your web address.
- d. **Type of Applicant:** Select the code that best characterizes your organization from the menu in the first dropdown box. Leave the other boxes blank.
- e. **Employer/Taxpayer Identification Number (EIN/TIN):** Enter the EIN or TIN assigned to your organization by the Internal Revenue Service.
- f. **Organizational UEI:** Enter your organization's Unique Entity Identifier (UEI). If your organization's SAM registration is active, you can find your assigned UEI in your SAM record. If you cannot locate your UEI, contact the Federal Service Desk at [www.fsd.gov](http://www.fsd.gov) or 1-866-606-8220.
- g. **Congressional District:** Enter your organization's congressional district. Use the following format: two-letter state abbreviation, followed by a hyphen, followed by a zero, followed by the two-digit district number. For example, if the organization is located in the 5th Congressional District of California, enter "CA-005." For the 12th Congressional District of North Carolina, enter "NC-012." For states and territories with "At Large" Congressional Districts—that is, one representative or delegate represents the entire state or territory—use "001," e.g., "VT-001."

If your organization does not have a congressional district (e.g., it is located in a U.S. territory that does not have districts), enter "00-000." To determine your organization's district, [click here to visit the House of Representatives website](#) and use the "Find Your Representative" tool.

#### Item 6. Project Information

- a. **Project Title:** Enter a brief descriptive title for your project. IMLS may use this title for public information purposes.
- b. **Project Description:** Enter a brief description (about 120 words) of your project. Tell us what your project will do, for whom or what, and describe the intended results. Use clear language that can be understood by readers who might not be familiar with the discipline or subject area.
- c. **Proposed Project Start Date/End Date:** Enter the start date and end date of the proposed period of performance in the format mm/dd/yyyy. The project period begins on the first day of the month in which project activities start and ends on the last day of the month in which these activities are completed. Refer to [Section B](#) of this Notice of Funding Opportunity to determine when your project can begin.

#### Item 7. Project Director

The Project Director is the person who will have primary responsibility for carrying out your project's activities. Enter the requested information for this individual here.

*IMLS requires that the Project Director be a different person than the Authorized Representative.*



### Item 8. Primary Contact/Grants Administrator

The Primary Contact/Grants Administrator is the person who has primary responsibility for administering the award. Enter the requested information for this individual here. If the Primary Contact/Grants Administrator is the same as the Authorized Representative, please still complete both Items 8 and 9.

In some organizations this individual may be the same as the Project Director. If this is the case, check the box and skip to Item 9.

### Item 9. Authorized Representative

The Authorized Representative is the person who has the authority to legally bind your organization. Enter the requested information for this individual here. **The Authorized Representative cannot be the same person as the Project Director.** By checking the “I Agree” box at the top of Item 9, this individual certifies the applicant’s compliance with the [IMLS Assurances and Certifications](#) and any other relevant federal requirements.

The “Signature of Authorized Representative” and “Date Signed” boxes will be automatically populated by Grants.gov upon submission of the application. This will be the person whose name was listed as your organization’s authorized representative when you registered with Grants.gov. Please note that this name might not be the same as the name and other information you entered in Item 9 above; however, the person whose name appears in the “Signature of Authorized Representative” box must have authorization from your organization to submit this application on behalf of your organization.

Submission of the electronic application acknowledges that your organization certifies compliance with relevant federal requirements, including but not limited to the [IMLS Assurances and Certifications](#), to the same extent as the signature does on a paper application.

## IMLS Supplementary Information Form

This is a dynamic form, so your answers to certain questions will determine what questions you see next.

### Applicant Information

Does the legal applicant identified on the SF-424S have an organizational unit that will perform the activities described in the application?

- If your organization has a parent organization, such as a university or a unit of state or local government, or cannot apply for grants on its own behalf, check YES.
- If your organization, on its own, meets the eligibility criteria for the grant program to which you are applying, check NO.

### Funding Request

IMLS funds requested: Enter the amount in dollars sought from IMLS.

Cost share/match amount: Enter the amount of non-federal funding you are providing. [Click here for further information on cost share.](#)

### Indirect Cost Rate

Select one option for calculating and including indirect costs in your project budget.

### Audience(s) Served

Select the primary audience(s) to be served by the activities described in the application. Choose no more than three. If you choose General Population, you may not choose any others.

### Abstract

Write an Abstract of no more than 3,000 characters in a concise narrative format for experts as well as a general audience, and paste it into the block provided. If your proposal is selected for funding, the Abstract may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

Address the following:

- Identify the lead applicant and, if applicable, any collaborators.
- Describe the need, problem, or challenge your project will address, and how it was identified.
- List the high-level activities you will carry out and identify the associated time frame.
- Identify who or what will benefit from your project.
- Specify your project's intended results.
- Describe how you will measure your success in achieving your intended results.

## IMLS Library - Discretionary Program Information Form

Sections of this form are dynamic, so your answers to certain questions will determine what questions you see next.

**Section 1. Organizational Financial Information:** Provide the information requested in a-d, beginning with the most recently completed fiscal year. If you named an organizational unit in the IMLS Supplementary Information Form, this information must pertain to that unit.

**Section 2. Agency-Level Goals and Objectives:** Select one of the three IMLS Agency-Level Goals with which your project best aligns. Once you have selected a goal, then select one associated objective.

**Section 3. Grant Program:** Select Laura Bush 21<sup>st</sup> Century Librarian Program. Then select one project type. See [Section A3](#) for more information about project types.

## IMLS Budget Form

Make sure that JavaScript is enabled in your web browser. Download the [IMLS Budget Form](#) (PDF, 1.1MB) to your computer and work on it outside your web browser. When it is complete, save it as a PDF and upload it as part of your application through Grants.gov.

The IMLS Budget Form accommodates up to three years of project activities and expenses. Project timelines, allowable costs, and other budget details vary by program. Be sure to review the Notice of Funding Opportunity for the grant program/project type to which you are applying and the cost principles in 2 C.F.R. part 200 and 2 C.F.R. part 3187.

The Year 1 columns should include costs for activities that begin on the project start date (as listed on 6c of the SF-424S) and end 12 months later. If the project timeline exceeds one year, list the costs for the next 12 months in the Year 2 columns. If the project extends beyond two years, list the costs for the next 12 months in the Year 3 columns.

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by cost share. In-kind contributions to cost share may include the value of services (e.g., donated volunteer or consultant time) or equipment donated to the project between the authorized start and end dates of your project. All the items listed, whether supported by grant funds or cost share, must be necessary to accomplish project objectives, allowable according to the applicable federal cost principles, auditable, and incurred during the award period of performance. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services

must conform to the written policies and established practices of your organization. You must report all revenues generated with project funds during the award period of performance as program income.

If you need more lines for a specific section, summarize the information in the IMLS Budget Form and explain it further in the Budget Justification.

1. **Salaries and Wages:** Include both temporary and permanent staff as well as volunteers engaged in project activities. Document the method of cost computation in your Budget Justification by including the base salary or wages for each person and the percentage of time each person is allocated to the project activities, which may be shown as a percentage of time, number or days, or number of hours.
2. **Fringe Benefits:** Fringe benefits can only be claimed as a direct cost for those positions included in your direct cost pool. Fringe benefits may be claimed only on the portion of salaries and wages identified for this project.

3. **Travel:** Explain the method of cost computation for each travel cost, including subsistence, lodging, and transportation, in your Budget Justification.

You must use the lowest available commercial fares for coach or equivalent accommodations, and you must use U.S. flagged air carriers for foreign travel when such services are available, in accordance with applicable U.S. legal requirements.

Please refer to the Narrative section of this Notice of Funding Opportunity for information about special travel requirements, if any.

4. **Supplies, Materials, and Equipment:** List the costs of supplies, materials, and equipment purchased specifically for the proposed project. For definitions and other information, please see 2 C.F.R. part 200. Use the Budget Justification to explain or describe these items in further detail.
5. **Subawards and Contracts:** List each third party that will undertake project activities and their associated costs as an individual line item on your IMLS Budget Form. Designate each third party as either a subaward or a contract using the dropdown menu on each line.

To explain or describe these items in further detail, you may either:

- itemize these third-party costs in your Budget Justification or
- include a separate IMLS Budget Form as a Supporting Document and refer to it in the Budget Justification for more complex projects.

6. **Student Support:** If your project includes Student Support costs, enter them in this section. [Click here for a definition and examples of Student Support.](#)

7. **Other Costs:** Use this section for costs that cannot be assigned to other categories. Do not use this section to list items that do not fit in the lines allotted for another section.

8. **Total Direct Costs:** These amounts will total automatically.

9. **Indirect Costs:** Indirect costs are expenses that are incurred for common or joint objectives that cannot be easily identified with a particular project. [Click here for more information about indirect costs.](#)

10. **Total Project Costs:** These amounts will total automatically.

## Cost Share in the Budget

Cost share is that portion of the project costs that is not paid by IMLS funds. Common examples of cost share include cash outlays; contribution of property and services; and in-kind contributions, such as staff or volunteer time that support project activities.

In this grant program, Implementation project proposals requesting more than \$249,999 must include at least a 1:1 cost share from non-federal sources. To calculate the minimum required cost share, subtract Student Support costs from the total requested IMLS funds (including indirect costs).

All expenses, including cost share, must be incurred during the award period of performance unless otherwise specified and allowed by law. Federal funds from other federal awards may not be used for cost share. All federal, IMLS, and program requirements regarding the use of funds apply to both requested IMLS funds and to cost share. See 2 C.F.R. §§ 200.1 and 200.306 for more information on cost share.

## Indirect Costs in the Budget

Indirect costs are expenses that are incurred for common or joint objectives and therefore cannot be readily identified with a particular project. Some examples include depreciation on buildings and equipment, the costs of operating and maintaining facilities, and general administration and general expenses, such as the salaries and expenses of executive officers, personnel administration, and accounting. See 2 C.F.R. part 200 for additional guidance.

### Options for Calculating and Including Indirect Costs in a Project Budget

You can choose to:

- use a rate not to exceed your current indirect cost rate already negotiated with a federal agency;
- use an indirect cost rate proposed to a federal agency for negotiation but not yet finalized, as long as it is finalized by the time of the award;
- use a rate not to exceed 10 percent of Modified Total Direct Costs (MTDC) if the organization currently does not have a federally negotiated indirect cost rate and is not subject to other requirements (e.g., for States and local governments and Indian tribes); or
- not include any indirect costs.

### Using a Federally Negotiated Indirect Cost Rate

Federally negotiated indirect cost rates are negotiated agreements between federal agencies and non-federal entities. If your organization already has an existing negotiated indirect cost rate in effect with another federal agency, you may use this rate to calculate total project costs, as long as you apply the rate in accordance with the terms of the negotiated agreement and include a copy of the current negotiated agreement with your grant application. You may also choose to use a rate lower than your current federally negotiated indirect cost rate. We will only accept federally negotiated indirect cost rates that are current by the award date.

### Using a Proposed Indirect Cost Rate

If your organization is in the process of negotiating an indirect cost rate with a federal agency, you may use the indirect cost rate that was proposed to the federal agency to estimate total project costs. In such situations, if we issue an award, we will accept the rate only if the negotiations are final by the award date and a copy of the final agreement is submitted to us. IMLS staff will work with you to adjust your budget prior to issuing an award.

### **Using the 10 Percent De Minimis Indirect Cost Rate**

Except for those non-federal entities described in Appendix VII to 2 C.F.R. part 200, you may choose to charge a rate not to exceed 10 percent of Modified Total Direct Costs (MTDC), as long as you do not currently have a federally negotiated indirect cost rate and you meet the applicable requirements. See 2 C.F.R. part 200, including 2 C.F.R. §§ 200.1, 200.414(f), and 200.510(b)(6), for additional guidance.

Modified Total Direct Costs means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward. MTDC excludes several cost categories, including equipment, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of \$25,000. See 2 C.F.R. § 200.1 for additional information.

If you are using the 10 percent indirect cost rate, check the appropriate box indicated on the IMLS Budget Form. No additional documentation is required.

### **Applying an Indirect Cost Rate to the Cost Share Portion of a Budget**

You may, if consistent with 2 C.F.R. part 200 (Uniform Guidance), apply your indirect cost rate to your total direct costs covered by cost share, but any costs you claim as cost share must be accounted for in the cost share column on the IMLS Budget Form. IMLS funds can be used for indirect costs, but only for the portion of the total direct costs for which you are requesting IMLS funds (the Grant Funds column). (See, for example, 2 C.F.R. §§ 200.412-414.)

### **Restrictions on Project Costs Included in Indirect Cost Calculations**

If you have a federally negotiated indirect cost rate agreement, you must follow its conditions and requirements.

If you do not have a current negotiated (including provisional) indirect cost rate and meet applicable requirements, you may elect to charge a de minimis rate of 10 percent of the Modified Total Direct Costs (MTDC) in your indirect cost calculations.

If you have a federally negotiated indirect cost rate agreement of less than 10 percent, you must use it rather than the de minimis rate in your indirect cost calculations.

Please see above section on this 10 percent rate as well as 2 C.F.R. § 200.414(f) and § 200.1.

## **Student Support Costs in the Budget**

### **Students are understood to be:**

- Students enrolled in a community college, undergraduate, or graduate program of study
- Individuals participating in post-master's or post-doctoral programs that are focused on supporting their careers or professional development
- Library, archive, and museum staff participating in education and training activities focused on their careers or professional development

### **Examples of Student Support include:**

- Tuition support for students participating in the project
- Salaries or stipends for graduate assistant work, so long as their work is focused on research and teaching activities (therefore contributing to their education)
- Pay and benefits for a resident or fellow to work in a position that is intended to support their learning outcomes or professional development

- Costs for travel and conference registration provided to support a student or participant's learning outcomes or professional development
- Costs of supplies and equipment provided to students to support a student's learning outcomes or professional development

**Activities not considered Student Support include:**

- Students employed in roles that are primarily administrative or clerical, doing work that is not primarily focused on their career or professional development. These costs should be listed in the salaries and wages section of the budget, and tuition paid on behalf of these students would not be considered Student Support.

See 2 C.F.R. § 200.466 (Scholarships and student aid costs); see also 2 C.F.R. § 200.430 (Compensation – personal services).

## **Budget Justification**

To write your Budget Justification, follow the format of the IMLS Budget Form's section headings and save it as a PDF. Address both grant funds and cost share.

### **1. Salaries and Wages**

Identify each person whose salary or wages will be paid with IMLS funds or by cost share, provide their names, and describe their role in the project. Document the method of cost computation by including the base salary or wages for each person and the percentage of time each person is allocated to the project activities, which may be shown as a percentage of time, number of days, or number of hours. If cost share is being provided by unpaid volunteers, explain how you arrived at the dollar amount used to represent the value of their services.

If you are requesting IMLS funding for salaries of permanent staff, explain the reason for the request and how the regular duties of these individuals will be performed during the award period of performance.

### **2. Fringe Benefits**

Identify your organization's fringe benefit rate and explain the base for the calculation for each person. If you have consolidated several persons' fringe benefits into a single line on the IMLS Budget Form, break out the detail here.

### **3. Travel**

For each trip, explain the purpose of the trip and specify the points of origin and destination, the name of the traveler, and break out the costs of transportation, lodging, per diem, and any other expenses associated with the travel. Explain how you arrived at these dollar amounts.

### **4. Supplies, Materials, and Equipment**

List each type of supply, material, and equipment you propose to purchase or provide as cost share for the project. Detail the number and unit cost for each item and explain how you arrived at the dollar amounts. Provide vendor quotes or price lists as Supporting Documents with your application.

### **5. Subawards and Contracts**

List the costs of project activities to be undertaken by third parties for the project. (Familiar terms for third parties can include partners, consultants, subgrantees, contractors, collaborators, vendors, and service providers.) Identify each third party by name, describe their role in the project, the activities they will carry out, and the cost. For each entry, designate the third party as either a subrecipient



(who receives a subaward) or a contractor (who receives a contract). Explain costs for third parties and provide relevant Supporting Documents with your application. IMLS grant funds may generally not be provided to other U.S. government agencies.

You are responsible for making a case-by-case determination as to whether the agreement you make with a third party should be a subaward or a contract. That determination will depend upon the nature of your relationship with the third party with respect to the activities to be carried out. (See 2 C.F.R. § 200.331 (Subrecipient and contractor determinations).)

## **6. Student Support**

Explain your method for calculating the costs listed in this section. [Click here for a definition and examples of Student Support.](#)

## **7. Other Costs**

Use this section for costs that cannot be assigned to other categories.

## **8. Total Direct Costs**

Indicate the total direct costs and specify how much you are asking from IMLS and how much you intend to provide as cost share.

## **9. Indirect Costs**

If you include indirect costs in your project budget, identify the rate(s) and explain the base(s) on which you are calculating the costs. [Click here for more information about indirect costs.](#)

## **10. Total Project Costs**

Indicate the total project costs here and specify how much you are asking from IMLS and how much you intend to provide as cost share.

## **Proof of Private, Nonprofit Status**

An organization applying as a private, nonprofit institution must submit a copy of the letter from the Internal Revenue Service indicating its eligibility for nonprofit status under the applicable provision of the Internal Revenue Code of 1954, as amended. (See 2 C.F.R. § 3187.7(b).) IMLS will not accept a letter of state sales tax exemption as proof of nonprofit status.

# **Appendix Four – Guidance for Creating a Digital Products Plan**

IMLS is committed to expanding public access to digital products that are created using federal funds. The digital products you create with IMLS funding require careful stewardship to protect and enhance their value, and they should be freely and readily available for use and re-use by libraries, archives, museums, and the public. IMLS also recognizes that technology is dynamic and does not want to inhibit innovation by prescribing set standards and practices that could become quickly outdated. Therefore, IMLS asks each applicant to create and submit a Digital Products Plan describing how they will address specific aspects of creating and managing digital products, employing practices and standards that are most appropriate for their specific project. Like all components of an IMLS application, your plan will be closely scrutinized by IMLS staff and by expert peer reviewers, and it will be important in determining whether your project will be funded. Organize your plan to address the following: Type, Availability, Access, and Sustainability.

IMLS participates in the Federal Agencies Digital Guidelines Initiative (FADGI), a collaborative effort by federal agencies to define common standards, guidelines, methods, and best practices for creating digital collections. The FADGI website includes a growing list of links to relevant standards, recommendations, and other resources. While this list is not exhaustive—nor does IMLS endorse any specific resource—applicants considering digital projects may find the information useful. [Click here to access the FADGI website.](#)

## Type

### What digital products will you create?

Most projects are likely to generate digital content, resources, or assets. They may be digitized or born-digital products created by individuals, project teams, or through community gatherings. Examples include, but are not limited to, still images, audio files, moving images, microfilm, object inventories, object catalogs, artworks, books, posters, curricula, field books, maps, notebooks, scientific labels, metadata schema, charts, tables, drawings, workflows, teacher resources, and software, including source code, algorithms, applications, and digital tools, plus accompanying documentation.

In your Digital Products Plan, describe the digital content, resources, or assets you will create or collect, the quantities of each type, the digital file format(s), the accompanying metadata, and any relevant standards you will use. If you are developing software, you should also specify the programming languages, platforms, frameworks, software, or other applications you will use to create your software and explain why you chose them.

## Availability

### How will you make your digital products openly available (as appropriate)?

IMLS encourages grant recipients to make works produced with IMLS support widely available, and to share their work products (including publications, datasets, educational resources, software, and digital content) whenever possible through free and open-access journals and repositories. Your project may involve making digital products available through public or access-controlled websites, kiosks, or live or recorded programs. IMLS expects applicants to ensure that publications produced under an award (including but not limited to peer-reviewed manuscripts resulting from research conducted under an award) are made available in a manner that permits the public to access, read, download, and analyze the work without charge.

In your Digital Products Plan, describe how you will make the digital content, resources, assets, software, and metadata available to the public. Include details such as the delivery strategy (e.g., openly available online, available to specified audiences) and underlying hardware/software platforms and infrastructure (e.g., specific digital repository software or leased services, accessibility via standard web browsers, requirements for special software tools to use the content, delivery enabled by IIIF specifications). Identify and explain the reasons for any limitations in your Digital Products Plan.

## Access

**What rights will you assert over your digital products, and what limitations, if any, will you place on their use? Will your products implicate privacy concerns or cultural sensitivities, and if so, how will you address them?**

Grant recipients may copyright any work that is subject to copyright and that was developed under an award or for which ownership was purchased. However, IMLS reserves, for Federal

Government purposes, a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work.

IMLS expects applicants receiving federal funds for developing or creating digital products to release these files under open-source licenses to maximize access and promote reuse. All work products resulting from IMLS funding should be distributed for free or at cost unless IMLS has provided written approval for another arrangement.

In your Digital Products Plan, identify any licenses under which digital products will be shared (e.g., Creative Commons licenses, RightsStatements.org statements). Describe what intellectual property rights you will assert over your digital products and explain any limitations or conditions you will place on their use. If your products implicate privacy concerns or cultural sensitivities, describe these issues and how you plan to address them.

## Sustainability

### How will you address the sustainability of your digital products?

To the maximum extent possible, the digital products created with IMLS funding should be freely and readily available for use and reuse by libraries, archives, museums, and the public. Some digital products that are generated during a project should be long-lived, requiring permanent preservation, and others (e.g., preliminary analyses, drafts of papers, plans for future work, peer-review assessments, most social media communications, and communications with colleagues) should be retained and shared in the medium- or short-term.

In your Digital Products Plan, describe your plan for preserving and maintaining digital products during and after the period of performance and identify the appropriate length of time different digital products should be curated. Address storage systems, shared repositories, technical documentation, migration planning, and commitment of organizational funding for these purposes.

**Note:** You may charge the federal award before closeout for the costs of publication or sharing of results if the costs are not incurred during the period of performance of the federal award (see 2 C.F.R. § 200.461).

# Appendix Five – Guidance for Research Applications

Please note that research and information collections are subject to applicable law, including but not limited to 45 C.F.R. part 46 (Protection of Human Subjects); see also the [IMLS Assurances and Certifications](#).

## Narrative

A research application should answer the following questions in the project Narrative.

### What are your research questions, methods, and theoretical framing?

List the question(s) that will drive your proposed activities. Research questions should be clear and concise to help reviewers understand what you wish to learn.

Detail the methods you will use to collect and analyze data. Say why they are the most appropriate for addressing the question(s) at hand. Your methods must be replicable and based on current practices.

What are the concepts, assumptions, expectations, beliefs, and/or theories that support and inform your research and guide your approach to data collection and analysis? If you are proposing to conduct research that will build theory, explain why.

**What is the relevance of your proposed research for current practice?**

Discuss how your proposed work builds on existing projects or efforts, including those funded by IMLS. Provide information about how your research can lead to improved museum or library practice and demonstrate you are familiar with current scholarship, including empirical work, in your area of interest.

**What type of data will you gather for your research (separate from that identified in your Performance Measurement Plan)?**

Describe the type of data you will collect and any measures you will take to ensure its validity and reliability. Detail the methods for collecting information along with any potential privacy or human subjects concerns that may arise. List potential challenges in gathering data and explain how you will address them. As noted above, research and information collection are subject to applicable law, including but not limited to privacy requirements and 45 C.F.R. part 46 (Protection of Human Subjects), see also the [IMLS Assurances and Certifications](#).

**How will you collect, analyze, and use the data?**

Describe how you will analyze the results of your research and relate them to your research questions. If applicable, outline an analysis plan that links a set of testable hypotheses to the proposed research question(s). Identify the variables of interest that are key to the investigation and explain how you will deal with alternative explanations for the observed phenomena.

**Does your study require Institutional Review Board (IRB) approval? If so, what steps have you taken to secure IRB approval?**

Describe your plan for the IRB approval process. If IRB approval is required, it is not necessary that you secure approval before submitting your application, but you must receive approval prior to initiating your study.

**How will you report and disseminate your findings?**

Address how you will communicate the results to a variety of target groups with different levels of expertise, especially practitioners.

## **Data Management Plan**

Data sharing is an essential component of research and expedites the translation of research results into new knowledge and practices. Applications for projects that involve the collection and analysis of research data must include a Data Management Plan that provides for long-term preservation of and access to the project research data.

IMLS expects awardees to deposit data resulting from IMLS-funded research in a broadly accessible repository that allows the public to use the data without charge no later than the date upon which an awardee submits the final performance report to IMLS. The data should be deposited in a machine-readable, non-proprietary digital format to maximize search, retrieval, and analysis.

Project budgets may include the costs of preparing the data for public release and for making the data publicly available. In their final performance reports, awardees are required to identify where the data has been deposited and can be accessed by the public.

IMLS recognizes that in some cases data sharing may be complicated or limited by institutional policies; local Institutional Review Board (IRB) rules; and local, state, and federal laws and regulations, including those protecting confidentiality and personal privacy. The rights and privacy of people who participate in IMLS-supported research must be protected at all times. Thus, data intended for broader use should be free of anything that could lead to disclosure of the identity of individual participants. Each applicant should identify and explain the reasons for any limitations in their Data Management Plan.

**Explain how you will manage, share, preserve, document, and enable reuse of the data you will collect or generate during the project by addressing the following.**

- Identify the type(s) and estimated amount of data you plan to collect or generate, and the purpose or intended use(s) to which you expect them to be put. Describe the method(s) you will use, the proposed scope and scale, and the approximate dates or intervals at which you will collect or generate data.
- Will you collect any sensitive information? This may include personally identifiable information (PII), confidential information (e.g., trade secrets), or proprietary information. If so, detail the specific steps you will take to protect the information while you prepare it for public release (e.g., anonymizing individual identifiers, data aggregation). If the data will not be released publicly, explain why the data cannot be shared due to the protection of privacy, confidentiality, security, intellectual property, and other rights or requirements.
- What technical (hardware and/or software) requirements or dependencies would be necessary for understanding retrieving, displaying, processing, or otherwise reusing the data? How can these tools be accessed (e.g., open-source and freely available, commercially available, available from your research team)?
- What documentation (e.g., consent agreements, data documentation, codebooks, metadata, and analytical and procedural information) will you capture or create along with the data? Where will the documentation be stored and in what format(s)? How will you permanently associate and manage the documentation with the data it describes to enable future reuse?
- What is your plan for managing, disseminating, and preserving data after the completion of the award-funded project? If relevant, identify the repository where you will deposit your data. When and for how long will data be made available to other users?
- When and how frequently will you review your Data Management Plan? How will the implementation be monitored?

A valid Data Management Plan may include only the statement that no detailed plan is needed if the statement is accompanied by a clear justification.

**Note:** For the purposes of this section, “data” is defined consistent with OMB guidance (see 2 C.F.R. § 200.315). IMLS reserves a royalty-free, nonexclusive, and irrevocable right to: (1) obtain, reproduce, publish, or otherwise use the data first produced under a grant; and (2) authorize others to receive, reproduce, publish, or otherwise use such data for federal purposes.

## Appendix Six – Conflict of Interest Requirements

As a non-federal entity, you must follow IMLS conflict of interest policies for federal awards. You must disclose in writing any potential conflict of interest to an IMLS Program Officer, or to the pass-through

entity if you are a subrecipient or contractor. This disclosure must take place immediately whether you are an applicant or have an active IMLS award.

The IMLS conflict of interest policies apply to subawards as well as contracts, and are as follows:

- As a non-federal entity, you must maintain written standards of conduct covering conflicts of interest and governing the performance of your employees engaged in the selection, award, and administration of subawards and contracts.
- None of your employees may participate in the selection, award, or administration of a subaward or contract supported by a federal award if he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from an organization considered for a subaward or contract. The officers, employees, and agents of the non-federal entity must neither solicit nor accept gratuities, favors, or anything of monetary value from subrecipients or contractors or parties to subawards or contracts.
- If you have a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian tribe, you must also maintain written standards of conduct covering organizational conflicts of interest. Organizational conflicts of interest means that because of relationships with a parent company, affiliate, or subsidiary organization, you are unable or appear to be unable to be impartial in conducting a subaward or procurement action involving a related organization.