



INSTITUTE of  
**Museum and Library**  
SERVICES

2007

# 21st Century Museum Professionals Grants

Grant Program Guidelines

CFDA No. 45.307

*Application Deadline: March 15, 2007*

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

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## **FOR MORE INFORMATION, CALL OR WRITE:**

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

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

### **Burden Estimate and Request for Public Comments**

Public reporting burden for this collection of information is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services at the address above; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0060), Washington, DC 20503.

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OMB Number: 3137-0060; Expiration Date: 11/30/2008

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## DEAR COLLEAGUES

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I am pleased to present the 2007 guidelines for 21st Century Museum Professionals Grants. Helping to train museum professionals is a top priority for the Institute of Museum and Library Services. These grants are designed to build the knowledge, skills, and abilities of museum professionals so that they will be better equipped to serve the needs of their communities.

The rapidly changing environment of the knowledge society, the possibilities provided by new technologies, the increasing diversity of the population, and the need to demonstrate public value and accountability require an expanding portfolio of skills for museum professionals at every level. The Institute encourages proposals from museums, service organizations, and universities that will build the capacities of the nation's museums.

I invite you to read these guidelines, propose projects that help build a stronger community of museum professionals for the 21st century.

Sincerely,



Anne-Imelda M. Radice, PhD  
Director

# TABLE OF CONTENTS

<b>Section 1: General Information</b> .....	<b>1</b>
About the Institute of Museum and Library Services .....	2
About 21st Century Museum Professionals grants .....	3
Institutional Eligibility .....	4
Eligible Activities and Costs .....	6
Partnerships .....	7
Data Universal Numbering System (DUNS), Taxpayer Identification Number (TIN), and Employer Identification Number (EIN) .....	8
Conditions of a Grant .....	9
Duration of a Grant .....	9
Project Start Date .....	9
Amount of Grant .....	9
Cost Sharing .....	9
Use of Funds .....	9
Copyright/Work Products .....	10
Announcement of Award .....	10
Payment, Accounting, Management, and Reporting Procedures .....	10
Application Review and Evaluation .....	11
<b>Section 2: The Application Package</b> .....	<b>13</b>
Application Components .....	14
Grants.gov .....	15
SF-424s .....	20
Program Information Sheet .....	22
21 MP Narrative .....	23
Application Evaluation Criteria .....	24
Budget .....	27
Partnership Statement .....	30
Text Responses Document .....	31
Explanation of budget surplus/deficit, if applicable .....	31
Organizational profile .....	31
Summary of project activities .....	31
Institutional financial statements, if applicable .....	32
Schedule of completion .....	32
Budget Justification .....	33
List of Key Project Staff and Consultants and Resumes .....	33

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# TABLE OF CONTENTS

---

**Section 2: The Application Package (cont'd)**

Other Attachments . . . . . 34  
    Proof of Nonprofit Status. . . . . 44  
    Letters of Commitment. . . . . 34  
    Optional Attachments . . . . . 34  
Submitting Grants.gov Applications . . . . . 35

**Section 3: Application Resources and Assurances . . . . . 37**

Application Checklist . . . . . 38  
Sample Schedule of Completion. . . . . 39  
IMLS Assurances and Certification. . . . . 40



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# **General Information**

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## **ABOUT THE INSTITUTE OF MUSEUM AND LIBRARY SERVICES**

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

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

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

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

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



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## ABOUT 21ST CENTURY MUSEUM PROFESSIONALS GRANTS

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The purpose of the 21st Century Museum Professionals (21MP) program is to increase the capacity of museums to connect people to information and ideas by improving the knowledge and skills of museum staff in the full range of museum operations.

Museums play a critical role in the education of the public in the United States by preserving the world's rich cultural heritage and helping to transmit it from one generation to the next. Museum professionals need high levels of knowledge and expertise as they help to create public value for the communities they serve. IMLS supports this purpose by providing grants that help museum professionals acquire, improve, and maintain their knowledge and skills.

21st Century Museum Professionals grants are intended to reach broad groups of museum professionals throughout a city, county, state, region, or the nation and increase their capacity to serve their audiences. These projects should reach multiple institutions and diverse audiences.

“Museum professionals” include both paid and unpaid museum staff and both practicing and future professionals. Applications from individual museums should demonstrate how the proposed project will benefit multiple institutions and diverse audiences.

Successful proposals will reflect an understanding of museum service needs in the communities to be served by the project and will explain why the proposed activity will be effective in meeting those needs.

Funding will support projects involving core management skills such as planning, leadership, finance, program design, partnership, and evaluation. Project focus areas may also include, but not be limited to, collections care and management, interpretation, marketing and audience development, visitor services, governance, and other areas of museum operations. Proposals may also focus on projects that help museums attract and retain staff, and improve the capacity of museums to address the rapidly changing demographics in many communities. Examples of activities may include one or more of the following:

- development and implementation of classes, seminars or workshops that deliver information on how to improve staff practices in the operation of museums;
- resources and activities to support the development of museum leaders;
- organizational support for the development of internship and fellowship programs;
- support for the enhancement of pre-professional training programs;
- collection, assessment or development of information that leads to better museum operations;
- dissemination of information to museum professionals through publications, Web sites or other means;
- activities that increase and strengthen the use of contemporary technology tools to deliver programs and services.

## INSTITUTIONAL ELIGIBILITY

An applicant must

1. be either a unit of state or local government or a private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
2. be located in one of the 50 states of the United States of America, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
3. qualify as one of the following three types of organizations:
  - a. a museum<sup>1</sup> that, using a professional staff,<sup>2</sup> (1) is organized on a permanent basis for essentially educational or aesthetic purposes; (2) owns or uses tangible objects, either animate or inanimate; (3) cares for these objects; and (4) exhibits these objects to the general public on a regular basis through facilities that it owns or operates.<sup>3</sup>
  - b. An organization or association that engages in activities designed to advance the well-being of museums and the museum profession.<sup>4</sup>
  - c. An institution of higher education, including public and nonprofit universities.

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<sup>2</sup>An institution uses a professional staff if it employs at least one professional staff member, or the full-time equivalent, whether paid or unpaid, primarily engaged in the acquisition, care, or exhibition to the public of objects owned or used by the institution.

<sup>3</sup>An institution exhibits objects to the general public if such exhibition is a primary purpose of the institution. An institution that exhibits objects to the general public for at least 120 days a year is deemed to exhibit objects to the general public on a regular basis.

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

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

<sup>4</sup>For example, friends group associated with a single museum is not an eligible applicant.

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<sup>1</sup>Museums include, but are not limited to, aquariums, arboretums, art museums, botanical gardens, children/youth museums, general museums (those having two or more significant disciplines), historic houses/sites, history museums, natural history/anthropology museums, nature centers, planetariums, science/technology centers, specialized museums (limited to a single distinct subject), and zoological parks.

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

## ELIGIBLE ACTIVITIES AND COSTS

### Eligible Costs

Eligible expenses include but are not limited to the following:

- training and education;
  - technical assistance or consultation with museum and/or business professionals;
  - program development and implementation;
  - purchase of equipment, materials, supplies, or services;
  - research;
  - publication;
  - integration of technology into training activities or programs;
  - activities related to general museum operations;
  - internship stipends and support activities;
  - costs associated with evaluation of grant activities;
  - staffing; and
  - indirect or overhead costs (see 28).
- collection conservation activities, including the purchase of storage equipment such as shelving, installation of collections, HVAC systems, creation of collections storage facilities, object treatment, collections surveys, or historic structure renovation (For these activities, please see IMLS Conservation Project Support program guidelines.)
  - exhibit fabrication that includes creation of large scale permanent structures for animals or objects that would involve contract labor of the construction trades. (Exhibits fabrication may be an allowable cost. If you have a question about the eligibility of the scope of your exhibition activities, please call IMLS staff immediately.)

### Non-Eligible Activities and Costs

- general museum fundraising costs, such as development office expenditures or other staff time devoted to general fundraising;
- general advertising or public relations costs designed solely for promotional activities other than those related to the specific project;
- contributions to endowment funds;
- acquisition of objects for the collection;
- costs of social activities, ceremonies, and other entertainment;
- pre-award costs (costs incurred prior to the effective date of the grant);
- construction and renovation of museum facilities;

### Cost Share

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

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

You may not use federal funds as your cost share. In-kind contributions such as staff time, donated services, supplies, and space may be used as cost share if you can document that donations relate specifically to your 21st Century Museum Professionals grant project.

## PARTNERSHIPS

**Partnerships may strengthen applications submitted to this program, if they are appropriate to the project. Partnerships are not required in this program, however.**

**If an applicant chooses to work in partnership with other organizations, IMLS encourages partnerships that are on a scale sufficient to address the broadest possible needs, including statewide and regional collaborations. An application may include one or more partners.**

The lead applicant serves as the fiscal agent for the project and must be an eligible entity. All partners must complete a Partnership Statement.

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

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

version of the Partnership Statement to the applicant, which will be available to IMLS if requested by IMLS.

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

Each member of the partnership is legally responsible for carrying out the activities it agrees to perform and using the funds it receives in accordance with the terms of the grant and applicable federal laws, regulations, and requirements

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

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

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

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

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

## CONDITIONS OF A GRANT

### Duration of a Grant

Project activities may be carried out for a period of up to three years.

### Project Start Date

Projects may begin no earlier than October 1, 2007 and no later than December 1, 2007.

Projects must begin on the first day of the month and end on the last day of the month.

### Amount of Grant

21st Century Museum Professionals Grants range from \$15,000 to \$500,000. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than requested. Please note that applicants may submit only one application for funding through 21MP for each application deadline.

### Cost Sharing

Project cost must be matched 1:1 through the cost share by the applicant. Applicants must provide at least one-half of the total cost of the project from non-federal sources. These costs may be supported by the grantee's cash outlays including cash contributions from third parties that are used to support project costs, the value of the grantee's contributions of property and services to the project, and third-party in-kind contributions that are used to support project activities. IMLS encourages applicants to contribute as cost sharing the salaries of any existing permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of existing permanent staff, the proposal should explain how their regular duties will be performed during the grant period. IMLS strongly encourages applicants to seek third-party

donations of cash, equipment, and services. If any funds are to be contributed as cost share by sources other than the applicant or its official partners, the applicant must identify whether the commitment of funds is assured or pending. If the funds are assured, the applicant should include a letter from the source affirming its commitment. If the funds are not assured, the applicant should describe the plan for meeting the promised cost share from other sources in the event that the pending funds are not received.

### Use of Funds

IMLS grant funds may be used only for allowable costs directly related to the project.

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

Projects should be investments in the organization that will have long-term institutional impact, not one-time activities. Any revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing or as specified in applicable OMB circulars. All listed expenses must be incurred during the grant period. Government-wide uniform administration rules and requirements apply, including appropriate OMB circulars. For a list of allowable and unallowable costs, please see page 6.

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## CONDITIONS OF A GRANT

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### **Copyright/Work Products**

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

### **Announcement of Award**

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in September 2007.

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

A federal accounting office handles the payment for 21st Century Museum Professionals grant recipients, and grantees may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. Grantees do not need to maintain a separate bank account for IMLS grant funds; however, they must establish and maintain a separate accounting

category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements. In addition, government-wide uniform grant administrative rules and requirements apply, including appropriate OMB circulars.

Grant recipients are required to submit interim performance reports every six months during the grant period as well as annual financial reports. They are also required to submit a final performance report and a final financial report at the end of the grant period.



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## APPLICATION REVIEW AND EVALUATION

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IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible as an official applicant, the application will be rejected without evaluation (see “Institutional Eligibility,” page 4). Incomplete applications are subject to rejection without evaluation. If an application is rejected, the applicant will be notified by mail.

All eligible applications for 21MP grants will be evaluated by individual field review and/or panel review. Reviewers will have professional experience in either museums or professional service organizations that serve museums, or institutions of higher education. The IMLS Director makes the final funding decisions on the basis of the evaluations by reviewers and panels, the types of projects encouraged by IMLS, and the overall goals of the 21MP program and of IMLS.

Reviewers provide their evaluation applying the review criteria listed with the narrative questions on pages 24-25. For examples of funded projects, search the Awarded Grants database at [www.ims.gov/search.asp](http://www.ims.gov/search.asp).



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# **The Application Package**

## APPLICATION COMPONENTS

An application requesting funding from the 21st Century Museum Professionals program should include the following materials:

1. Face Sheet: the Application for Federal Domestic Assistance/Short Organizational Form (SF-424s) on Grants.gov
2. Program Information Sheet: the three-page form available as a fill-in PDF form or Word document in the Grants.gov Zip file or on the IMLS Web site
3. Narrative: not to exceed 7 pages
4. Detailed Budget: a three-page form available as a fill-in PDF form or Word document in the Grants.gov Zip file or on the IMLS Web site, replicated for each year of the project
5. Summary Budget: a one-page form available as a fill-in PDF form or Word document in the Grants.gov Zip file or on the IMLS Web site
6. Partnership Statement form, if applicable: a one-page form available as a fill-in PDF form or Word document in the Grants.gov Zip file or on the IMLS Web site, replicated for each individual partner
7. Text Responses documents, which will include the following:
  - a. Explanation of budget surplus/deficit, if applicable
  - b. Organizational profile
  - c. Institutional financial statements, if applicable
  - d. Summary of project activities
  - e. Schedule of completion
  - f. Budget Justification
  - g. List of key project staff and consultants
  - h. Resumes for key project staff and consultants
8. Other attachments:
  - a. Proof of nonprofit status, if applicable
  - b. Current, federally negotiated rate for indirect costs, if applicable
  - c. Letters of commitment, if applicable
  - d. Optional attachments (not to exceed 20 pages)

Organizations that are applying under the March 15, 2007, deadline for the 21st Century Museum Professionals program must submit their applications through Grants.gov, the federal government's online application system. The Grants.gov system will accept applications through 11:59 P.M. eastern time on March 15.

The application instructions contained within these guidelines are designed to accommodate the online application process. Applicants should feel free to contact program staff at any time with questions about an application component.

While the deadline is March 15, IMLS recommends strongly that applicants REGISTER EARLY (see "Grants.gov Registration" section below) and COMPLETE AND SUBMIT THEIR APPLICATION EARLY. Applicants are urged to not wait until the last day to submit their applications. Grants.gov can slow down during periods of high usage, which most often occur between 12:00 noon and 5:00 P.M. eastern time, particularly on days near a deadline. Applicants will have a better experience if they submit their application outside of these hours and in advance of the deadline.

## Grants.gov Registration

All applicants who are using Grants.gov must register with Grants.gov before submitting their application. The multistep registration process generally cannot be completed in a single day. Applicants who are not already registered should allow at least two weeks to complete this one-time process. **DO NOT WAIT UNTIL THE DAY OF THE APPLICATION DEADLINE TO REGISTER.**

Step-by-step instructions for registering are available at [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted). In addition, IMLS has created an easy-to-follow checklist for registering at [www.imls.gov/applicants/grantsgov/checklist.shtm](http://www.imls.gov/applicants/grantsgov/checklist.shtm). Applicants who have problems registering should call the Grants.gov help desk at 1-800-518-4726; e-mail [support@grants.gov](mailto:support@grants.gov); or consult the information posted on the Grants.gov Web site at [www.grants.gov/CustomerSupport](http://www.grants.gov/CustomerSupport). The Grants.gov customer service hours are 7:00 A.M. to 9:00 P.M. eastern time, Monday through Friday.

Applicants do not need to complete the registration process to download the application package and begin to prepare their material (see below). However, they will need their Grants.gov UserID and password, which are obtained during the registration process, to submit their completed application.

## Obtaining Application Packages

Electronic application packages are obtained directly from [www.Grants.gov](http://www.Grants.gov). Organizations applying through Grants.gov will need to locate the 21MP program package on the site. To locate the package:

1. Go to [www.Grants.gov](http://www.Grants.gov) to obtain the electronic application package for the 21MP program.
2. In the left-hand column, click on “Apply for Grants,” then click on “Download a Grant Application Package and Instructions.” Under “Find,” click “Download Grant Application Packages.”
3. This will take applicants to the “Download Application Package” screen. On this screen, enter one of the numbers found in the box below to locate the 21MP program application package, then click on “Download Package.”

Applicants will need to know one of the following to locate the package:

**CFDA No:** 45.307

**Funding Opportunity Number:** 21MP-FY07

4. When an applicant starts to download an application, two items need to be downloaded:

### **(1) Download Application Instructions—**

This package contains the grant application guidelines (which include instructions for completing the application) and the IMLS forms for

budget, program information, and any others related to this specific program.

- (2) Download Application Package—**This package has the face sheet (SF-424s, “Application for Federal Domestic Assistance/Short Organizational Form”) and the Attachments form.

Applicants need to download both of these packages to have all of the materials and forms necessary to complete the application.

5. To access, complete, and submit the application package, applicants need to have PureEdge Viewer, a small, free software program, installed on their computer. Applicants who do not already have this software can follow the instructions on Grants.gov for installing this program.

Please note that the PureEdge viewer is compatible with computers running the Windows operating system. Non-Windows users will be able to download and complete the PureEdge forms by taking advantage of the free Citrix server. See [www.grants.gov/MacSupport](http://www.grants.gov/MacSupport) for more information.

The application package will download in a Zipped file (.zip). Applicants need to have software that un-Zips files to open them. Numerous freeware packages are available on the Internet. The .zip contents are also available on the IMLS Web site at [www.imls.gov/grantsgov](http://www.imls.gov/grantsgov).

## Working on an Application Package

1. When opening the application package that is saved on the applicant's computer, the Grants.gov "Grant Application Package" screen will appear. In the "Application Filing Name" field, applicants should enter their organization's legal name.
2. The forms needed to complete the 21MP program application appear in the "Mandatory Documents" box. To open an item, click on it to select it, and then click on the "Open Form" button that is beneath the "Mandatory Documents" box. Forms cannot be opened by double-clicking. When a form is more than one page, navigate between pages by using the "Next" or "Previous" buttons at the top of the screen.
3. After working on a form, click the "Close Form" button at the top of the screen to capture entered information and return to the "Grant Application Package" screen. Before closing the "Grant Application Package" screen, click on the "Save" button. Until all of the required fields in all of the mandatory forms are completed, clicking on the "Save" button will generate an invalid values message. Click "Yes" to proceed. Grants.gov will also ask: "File Already Exists. OVERWRITE?" Clicking "Yes" will save the most recent changes to the existing file.

4. When a form is completed, click on the form name in the "Mandatory Documents" box to select it, and then click the "=>" button. This will move the form to the "Mandatory Completed Documents for Submission" box. All forms must be in the "Mandatory Completed Documents for Submission" box before an applicant will be able to submit the application. Forms can be worked on from either the "Mandatory Documents" or "Mandatory Completed Documents for Submission" box.

There are two forms in the "Mandatory Documents" box that every applicant must fill out before submitting the application:

1. Application for Federal Domestic Assistance/Short Organizational Form (SF-424s): This form asks for basic information on the applicant's organization and project. It is equivalent to the IMLS Face Sheet in the application package of previous years.
2. Attachments Form: This is not a form in the conventional sense, but rather a place to attach the other forms and additional items that must be included for a Grants.gov application package to be considered complete.

*Note:* The Program Information Sheet, the Detailed Budget form, and the Summary Budget form are also mandatory components of the application. The Partnership Statement is an optional form, depending on the nature of the project being proposed, that may also be a component of the application.

All of these mandatory and optional forms are included in the downloaded Zip file in both Adobe PDF and Microsoft Word formats, and are also available on the IMLS Web site. They can be saved in either PDF or Word format, then attached to the application using the Attachments Form.

Before completing the required forms, applicants may want to activate the Help tool by clicking on the help button (looks like a question mark) in the tool bar. Applicants can then find instructions by positioning the cursor over each item or, where relevant, over the radio button for an item. Detailed instructions for certain items are provided in the next section.

## **Application Attachments**

The Attachments Form is not a form in the conventional sense. Rather, it is a place to attach documents/files that are completed and saved elsewhere on the applicant's computer. The forms and documents that must be attached to the Attachments Form are listed in their correct sequence below:

1. Program Information Sheet
2. Narrative
3. Detailed Budget form
4. Summary Budget form
5. Partnership Statement
6. Text Responses documents
7. Any remaining attachments

Several important points about the forms and documents to attach:

1. On the Attachments Form, there are 15 attachment buttons, labeled "Attachment 1" through "Attachment 15." By clicking on a button, applicants will be able to choose the file from their computer that they wish to attach. Applicants should attach only one copy of each item. Applicants are encouraged to create multipaged documents that consolidate multiple attachments into one document, if possible.
2. Applicants must submit all attachments in one of the following formats: Microsoft Word (.doc), Adobe Portable Document Format (.pdf), Microsoft Excel (.xls), JPEG (.jpg), rich text (.rtf), or plain text (.txt).

To save the PDF versions of the Program Information Sheet, Budget forms, or Partnership Statement as PDFs, applicants must use Adobe Acrobat Approval or the full Acrobat Standard or Professional Programs. (Acrobat Approval is no longer available for purchase, but existing versions will work.) *Caution:* Applicants using the free version of the Reader software cannot save the filled-out forms.



Nonform documents, such as the narrative and Text Responses document(s), can be created with any software, but must be saved and submitted in one of the formats listed above. Applicants who do not have the software needed to convert files to PDF can use one of the many low-cost or free software packages available. To learn more, go to [www.imls.gov/pdf/PDFConversion.pdf](http://www.imls.gov/pdf/PDFConversion.pdf). Documents not available in an electronic format should be scanned and submitted as a PDF or JPEG file.

3. For documents that are not forms, applicants should make sure that pages are clearly labeled with the organization's legal name and the name of the item (e.g., application narrative) and numbered sequentially.
4. Forms and document files should be labeled clearly and attached in the proper order so that IMLS can correctly identify attachments.
5. Applicants do not have to fill in all 15 Attachments Form buttons.

6. If unable to view an attachment by clicking the "View Attachment" button on the Attachments Form, applicants should check the bottom of the screen for the message "Pop-ups were blocked on this page." If this message is present, pressing "Ctrl" and "View Attachment" will enable the applicant to see the attachment.

### **Grants.gov Help**

For help on how to use Grants.gov, please see the help material on the Grants.gov Web site at [www.grants.gov/CustomerSupport](http://www.grants.gov/CustomerSupport). Applicants can also e-mail the Grants.gov help desk at [support@grants.gov](mailto:support@grants.gov) or call them at 1-800-518-4726 from 7:00 A.M. to 9:00 P.M. eastern time, Monday through Friday.

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

## SF-424s

Note: Questions 1 through 4 will auto-fill in Grants.gov.

### 5. Applicant Information

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

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

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

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

**d. Type of Applicant:** Select the one code that best characterizes the applicant organization from the menu in the first drop-down box. Leave the other boxes blank. The following types of

applicants are not eligible to receive 21MP grants:

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

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

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

**g. Congressional District:** Enter the number of the congressional district in which the applicant organization is located. Use the following format: two-letter state abbreviation, followed by a hyphen, followed by the three-digit district number. For example, if the organization is located in the 5th Congressional District of California, enter “CA-005.” For the 12th district of North Carolina, enter “NC-012.” If an applicant does not have a congressional district (e.g., it is located in a U.S. territory that does not have districts), enter 00-000. To determine an institution’s district, visit the House of Representatives Web site at [www.house.gov](http://www.house.gov) and use the “Find Your Representative” tool.

## 6. Project Information

**a. Project Title:** Provide a brief descriptive title.

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

**c. Proposed Project Start Date/End Date:** Enter the beginning and ending dates for the requested period of support—that is, the span of time necessary to plan, execute, and close out the proposed project. Projects must begin between October 1, 2007 and December 1, 2007. Start dates must be the first day of a month and end dates must be the last day of a month.

## 7. Project Director

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

## 8. Primary Contact/Grants Administrator

Provide the requested information for the individual who should be contacted on all matters involving this application and the administration of any grant that may be awarded. For colleges and universities, this person is often a sponsored research, sponsored programs, or contracts and grants officer. Leave the Social Security number

blank. Select the appropriate prefix (even though this field is not required on Grants.gov).

In some organizations, particularly smaller ones, this individual may be the same as the project director. If this is the case, check the “Same as Project Director” box. (If the primary contact/grants administrator is the same as the authorizing official, please complete all items under both 8 and 9 even though there will be some repetition.)

## 9. Authorized Representative

Enter the name and contact information of the person who has the authority to apply for federal support of the applicant’s activities and enter into legal agreements in the name of the applicant. The Authorized Representative should not be the same person as the Project Director. By checking the “I Agree” box at the top of Item 9 and signing the application, this individual certifies the applicant’s compliance with relevant federal requirements (see the “IMLS Assurances and Certification” section, pp. 40-45). All written correspondence will be addressed to the Authorized Representative.

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

# PROGRAM INFORMATION SHEET

## 1. Applicant Information

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

### **b. and c. Organizational Unit and Address:**

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

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

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

## 2. Grant Program or Grant Program Category

Select one of the categories listed under a. 21st Century Museum Professionals

## 3. Request Information

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

**b. Cost Share Amount:** Enter the amount here. Applicants must provide cost sharing of at least one half of the total project cost. See “Conditions of a Grant” on page 9 for further information.

## 4. Museum Profile (Museum Applicants only)

Museum applicants must answer all questions in this section.

## 5–8.

Applicants for 21st Century Museum Professionals grants should skip these sections.

## 21MP NARRATIVE

The application narrative must

- answer each section in the order listed below, labeled and numbered;
- have the applicant organization's name at the top of each page;
- have each page numbered;
- be no more than seven single-spaced, one-sided pages in length;
- have a margin of at least 0.5 inch on all sides;
- use no smaller than a 12-point typeface with no more than six lines per vertical inch and standard spacing between letters; condensed fonts are not acceptable; handwritten applications are not acceptable.
- not include detailed budget discussions. These should be included in the "Budget Justification" section (see page 33).

Grants.gov applicants should use the Attachments Form to attach the narrative to the application. Attachments will be accepted only in one of the following formats: Microsoft Word (.doc), Adobe Portable Document Format (.pdf), Microsoft Excel (.xls), JPEG (.jpg), rich text (.rtf), or plain text (.txt).

IMLS reviewers base their evaluations only on the information presented in the application. This makes it very important for applicants to prepare a clear, concise, well organized document. Applicants must address each question separately, and in the same order in which they are listed below. The following pages provide guidance in preparing the narrative component of the 21MP grant application. There are four sections to the narrative. Each section must be addressed in the order presented and

must be labeled with number and section title to guide reviewers in their evaluation of the proposal.

Review criteria are listed with each section of the narrative. These criteria describe what the reviewers are instructed to consider as they evaluate the proposal. A well-designed proposal narrative is thorough and succinct while addressing the bullet points under each section as well as the review criteria.

# APPLICATION EVALUATION CRITERIA

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

## 1. Audience Needs Assessment

Discuss the development of the project concept. Include information such as:

- the intended audience for the project;
- the methodology for identifying the needs of the targeted audience;
- how the project design will benefit this audience of museum professionals;
- how it will improve the abilities of museum professionals to deliver services to their communities.

**Review Criteria:** Evidence that the applicant has identified an audience, performed a formal or informal assessment of its needs, and designed this project as the best solution to address those needs. Evidence that the project addresses issues that concern the museum field and will positively impact museum professionals.

## 2. Project Design

Describe the scope of the project. Include information such as:

- the project goals and objectives;
- action steps and activities to implement the project;
- project management;
- how the project will be promoted to the intended audience;
- the design, integration, and implementation of an evaluation plan that will measure the achievement of the project goals and objectives;
- (for proposals that involve partnerships) the role and commitment of the partnering organization(s).

Note: Grant activities are expected to have quantifiable and measurable outcomes and grantees will be expected to evaluate the success of the project against the established outcomes. IMLS provides a two-day course on Outcomes Based Evaluation (OBE) for recipients of 21st Century Museum Professionals grants. Applicants are required to request travel funds to attend this training and should budget \$2,000 per project for this IMLS-designated travel, or \$4,000 per project for partnership projects.

**Review Criteria:** Extent to which the project proposes efficient, effective, and successful approaches to accomplish clear goals and objectives. Evidence that the project activities will successfully reach the targeted audience. Identification of specific outcomes that will be used to measure the impact and success of the project.

### **3. Project Resources: Time, Personnel, Budget**

Summarize the timeline for the project and its justification. Describe the personnel who will coordinate the project, and their qualifications. Explain the budget allocated to accomplish project activities. Include information such as:

- the timeline for specific activities to implement the project;
- the key project personnel and their qualifications and commitment to the project along with their other, ongoing responsibilities;
- information about consultants involved in project activities and the associated selection process;
- integration of necessary facilities, equipment and supplies to support the project;
- source and use of revenues to be derived from the project, if applicable;
- qualifications of personnel assigned to manage project finances;
- source(s) of matching funds and/or in-kind contributions;
- (for proposals that involve partnerships) contributions to and benefits from the project for both the applicant and the partner organization(s).

**Review Criteria:** Evidence that the applicant is capable of completing the project in the time allocated and with the personnel selected to manage project activities. Evidence that the project personnel demonstrate suitable experience and expertise and can commit adequate time to accomplish project activities. Evidence that the project is supported by a cost-efficient budget that uses appropriate resources to fulfill the matching requirement. Evidence of sound financial management. *Note: Reviewer evaluation will include Resumes, Budget Forms and Budget Justification.*

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## APPLICATION EVALUATION CRITERIA

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### 4. Impact and Sustainability

Discuss the extent to which the project will have a lasting impact on the targeted audience of museum professionals. Include information such as:

- benefits from the project for professional development in multiple institutions;
- specific knowledge, skills, and abilities that will impact practicing or future museum professionals and their institutions;
- methods to ensure that project benefits will continue beyond the grant period;
- dissemination of project products or findings, if applicable.

**Review Criteria:** Evidence that the project will result in increased staff capacities, leading to improved practice. Extent to which the project will continue to benefit the targeted museum professionals after the grant period ends. Extent to which the project is likely to contribute to results or products that will benefit multiple institutions and diverse constituencies.



# BUDGET

The application requires three elements to describe the costs of a proposed project. The Detailed Budget for each year of the project and the Summary Budget that describes costs for the entire project are both available as fill-in PDF forms or Word documents in the Grants.gov Zip file or on the IMLS Web site. The third element is the Budget Justification, which is referenced below and further explained in the “Text Responses Document” section (p. 31).

Applicants for funding from the 21MP program must provide cost sharing of at least one half of the total project cost.

## Section A: Detailed Budget

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

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by the applicant or third-party in-kind contributions (cost sharing). In-kind contributions include the value of services or equipment that is donated to the project free of charge. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be

reasonably necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization. When indirect costs are charged to the project, care should be taken to ensure that expenses included in the organization’s indirect cost pool (see “Indirect Costs” below) are not charged to the project as direct costs.

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

- 1. Salaries and Wages:** Indicate both temporary and permanent staff by noting “temp” or “perm” in parentheses after each staff member listed.
- 2. Fringe Benefits:** Fringe benefits may include contributions for Social Security, employee insurance, pension plans, and so on. Only those benefits not included in an organization’s indirect cost pool may be shown as direct costs.
- 3. Consultant Fees:** List the individuals or groups who will provide consultative services on the grant and their fees, and explain the method of computation for the fees.
- 4. Travel:** The lowest available commercial fares for coach or equivalent accommodations must be used, and foreign travel must be

## BUDGET

undertaken on U.S. flag carriers when such services are available. Applicants must include \$2,000 per year for travel to attend IMLS-designated meetings. For partnership projects, include \$4,000 per year for such travel.

**5. Supplies and Materials:** In general, list the costs of material purchased specifically for the proposed project. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

**6. Services:** List the costs of project activities to be undertaken by a third-party contractor, including a partner, under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. Attach a complete itemization of these costs to the IMLS Budget Form. If there is more than one contractor, list the cost of each contract separately on the IMLS Budget Form and include an attached itemization.

**7. Student Support:** Applicants for 21MP grants should skip this section.

**8. Other Costs:** Please do not use the “Other Costs” section to list items that did not fit in the number of lines allotted for another section. If more lines are needed, the information should be summarized in the Detailed Budget Form and further explained in the Budget Justification.

**10. Indirect Costs:** Indirect costs are project costs that an organization incurs that cannot be easily assigned to an individual project. They are also called “overhead” or “administrative costs.” Examples of indirect-cost type items are charges for utilities, insurance, use of office space and equipment owned by the applicant, local telephone service, and the salaries of the management and administrative personnel of the organization.

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

If an organization has a federally negotiated indirect cost rate that will be current on the date of award, as cited on the award notification, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy of the negotiation is forwarded to IMLS with the application. However, IMLS will pay indirect costs only on the portion of the direct costs that are supported by IMLS funds. Indirect costs that are related to the direct project costs that will be supported by the applicant may be included in the budget only as a part of the applicant's cost sharing. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued. Institutions must use a federally negotiated indirect cost rate appropriate to the type of project proposed. For example, a rate for research may be used only for research projects.

An organization that is in the process of negotiating an indirect cost rate with a federal agency may apply the proposed rate to estimate total project costs as long as it follows the instructions in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. It is possible that the amount of the award will be reduced if the final negotiated rate is less than the rate that was used in the application budget. However, the amount of the award will not be increased if the negotiated indirect cost rate is higher than the rate proposed in the application.

Once an indirect cost rate is accepted by IMLS, the rate shall be considered fixed for the duration of the award even if, during the course of the award, the grantee negotiates a new indirect cost rate.

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

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

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

### **Section B: Summary Budget**

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

## PARTNERSHIP STATEMENT

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

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

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

### 1-5

Provide all of the information requested for the partner organization. If the partner organization does not have a DUNS number, refer the partner to page 8 within these guidelines for information and instructions on how to secure one. To obtain a full Zip+4 postal code, visit [www.usps.com/zip4](http://www.usps.com/zip4).

### 6. Governing Control of Partner

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

### 7-9

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

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

# TEXT RESPONSES DOCUMENT

For the following application items, create a single document that includes all of the items below, in the order listed below. When it is finished, please run spell check (if available). The Text Responses Document must

- supply information in the order requested;
- include the title (e.g., Schedule of Completion) for each item;
- have the applicant organization's name at the top of each page;
- have a margin of at least .5 inch on all sides;
- have each page numbered;
- use no smaller than a 12-point typeface with no more than six lines per vertical inch and standard spacing between letters; not use condensed fonts; not be handwritten.

Grants.gov applicants should save the document with the file name "TextResponses." Applicants will use the Attachments Form to add this document to their applications. Attachments will be accepted only in one of the following formats: Microsoft Word (.doc), Adobe Portable Document Format (.pdf), Microsoft Excel (.xls), JPEG (.jpg), rich text (.rtf), or plain text (.txt).

## Explanation of Budget Surplus or Deficit

Applicants who indicate a budget surplus or deficit for the two previous fiscal years on question 4g of the Program Information Sheet must include a one-page explanation.

## Organizational Profile

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

## Summary of Project Activities

A summary of project activities not exceeding one single-spaced (2000-word maximum) page must be provided. Information in the summary should cover the following areas as related to the proposed project:

- Who is the lead applicant and who are the formal partners, if applicable?
- What is the time frame for the project?
- What will be the project's activities, outcomes, and tangible products?

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

# TEXT RESPONSES DOCUMENT

## Institutional Financial Statements

(Museum and service organization applicants only).

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

## Schedule of Completion

The applicant must provide a Schedule of Completion that shows when each major project task will be undertaken, marks the milestones for each grant activity, and designates how grant funds are to be spent throughout the project. The Schedule of Completion must also correspond to the activities described in the narrative and the project dates on the Face Sheet and Budget pages. One way to plot this information is in a graph or chart that lists project activities and the corresponding months when these activities will take place during the project. This document may be created as a narrative or spreadsheet, and should be no longer than one page per year. See page 39 for an example.

### **Budget Justification**

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

IMLS encourages applicants to contribute as cost share the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified.

The cost of project activities to be undertaken by a third-party contractor, or a partner, should be listed under “Services” on the Detailed Budget as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be provided by the third party. A complete itemization of these costs should be included as part of the Budget Justification. If there is more than one contractor, the cost of each contract must be listed separately on the IMLS Budget Form and an itemization must be included as part of the Budget Justification.

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

1. Provide a list of the key project staff and the consultants who will be directly involved in the program.
2. Add resumes or curriculum vitae of no more than two pages each for all key project staff and consultants. Add a page break at the end of the list of personnel, then add page breaks at the end of each of the resumes/vitae.
3. If the key project staff and consultants have not been selected by the application deadline date, then submit position descriptions instead of resumes.

## OTHER ATTACHMENTS

### Proof of Nonprofit Status

If the applicant's organization is a private, non-profit organization (for those who answered "Private Nonprofit" or "Other" on question 5d of the Face Sheet):

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

### Letters of Commitment

Applicants must submit a letter of commitment for each project consultant. The letter should include

- confirmation that the consultant will work on the project if funded
- dates of service, scope of work, and fee structure

The information in this letter must correspond to the information in the application narrative.

### Optional Attachments

These optional documents specifically relate to the justification for the project.

- IMLS encourages applicants to include only information that will supplement the narrative and support the information provided in the application. Applicants should not use attachments to answer narrative questions.
- IMLS strongly encourages inclusion of needs assessments (formal or informal documentation used to evaluate and

plan projects, which can include surveys, reports, etc.); reports from planning activities; products or evaluations from previously completed or ongoing projects of a similar nature; or other documents for the evaluation of the proposal.

- Other attachments could include letters of support from partners or other groups that the applicant works closely with on this project, collections, technology, or other departmental plans for the institution as applicable to the proposed project.
- Total attachments are limited to 20 one- or two-sided pages. This includes any books. If they are over 20 pages in length, they will not be included in your application and cannot be returned.
- IMLS will remove any supplemental materials above the 20-page limit. They will not be sent to field reviewers as part of your application and cannot be returned.



## SUBMITTING GRANTS.GOV APPLICATIONS

1. In the top left corner of the Grants.gov menu screen, applicants will see “Submit,” “Save,” “Print,” “Cancel,” and “Check Package for Errors” buttons.
2. Once applicants have completed the application (i.e., all of the Mandatory Documents have been completed and moved to the “Completed Documents” box), they should click the “Check Package for Errors” button to double-check that they have provided all required information.
3. Applicants should then click the “Save” button one last time to make sure that all of the most current information is saved. (At this point, the invalid values message should not pop up.)
4. Applicants should print out a hard copy of the completed application for their files. Clicking the “Print” button will print out all of the forms in the “Mandatory Completed Documents for Submission” box. Applicants who desire a hard copy of the items attached to the Attachments Form will have to print those out on their own.
5. The authorized official will click the “Submit” button. The “Submit” button will not become active until the application is saved with all required fields completed. Clicking this button will reconnect the user to Grants.gov and the Internet. The authorized official will be prompted to provide the Grants.gov UserID and password that were obtained during the Grants.gov registration process. Applicants should be certain that they are satisfied with their application before clicking the “Submit” button. No changes or revisions are possible once the application is submitted.

Grants.gov will put a date/time stamp on each application after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors, including the size of the application, the speed of the applicant’s Internet connection, and the number of other applications (for grants from a variety of federal agencies) being sent to Grants.gov at the same time.

Applications can be submitted until 11:59 P.M. (eastern time) on March 15. However, applicants are strongly encouraged to submit applications early, in case of delays resulting from heavy online traffic or to deal with any last-minute problems that may be encountered.

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## SUBMITTING GRANTS.GOV APPLICATIONS

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6. Upon submission of the application to Grants.gov, the Grants.gov tracking number assigned to the application will display on the screen. Applicants should print out a copy of this notification number for their records. The tracking number also will be e-mailed to the authorized organization representative.
7. After the program deadline, applicants will receive a notification via e-mail from Grants.gov when IMLS retrieves their applications from Grants.gov.
8. Within 30 working days after the application deadline, IMLS will e-mail applicants an acknowledgment form with an application log number. Applicants who do not receive this form in the stated time should contact IMLS to ensure that their application was successfully logged.

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# **Application Resources and Assurances**

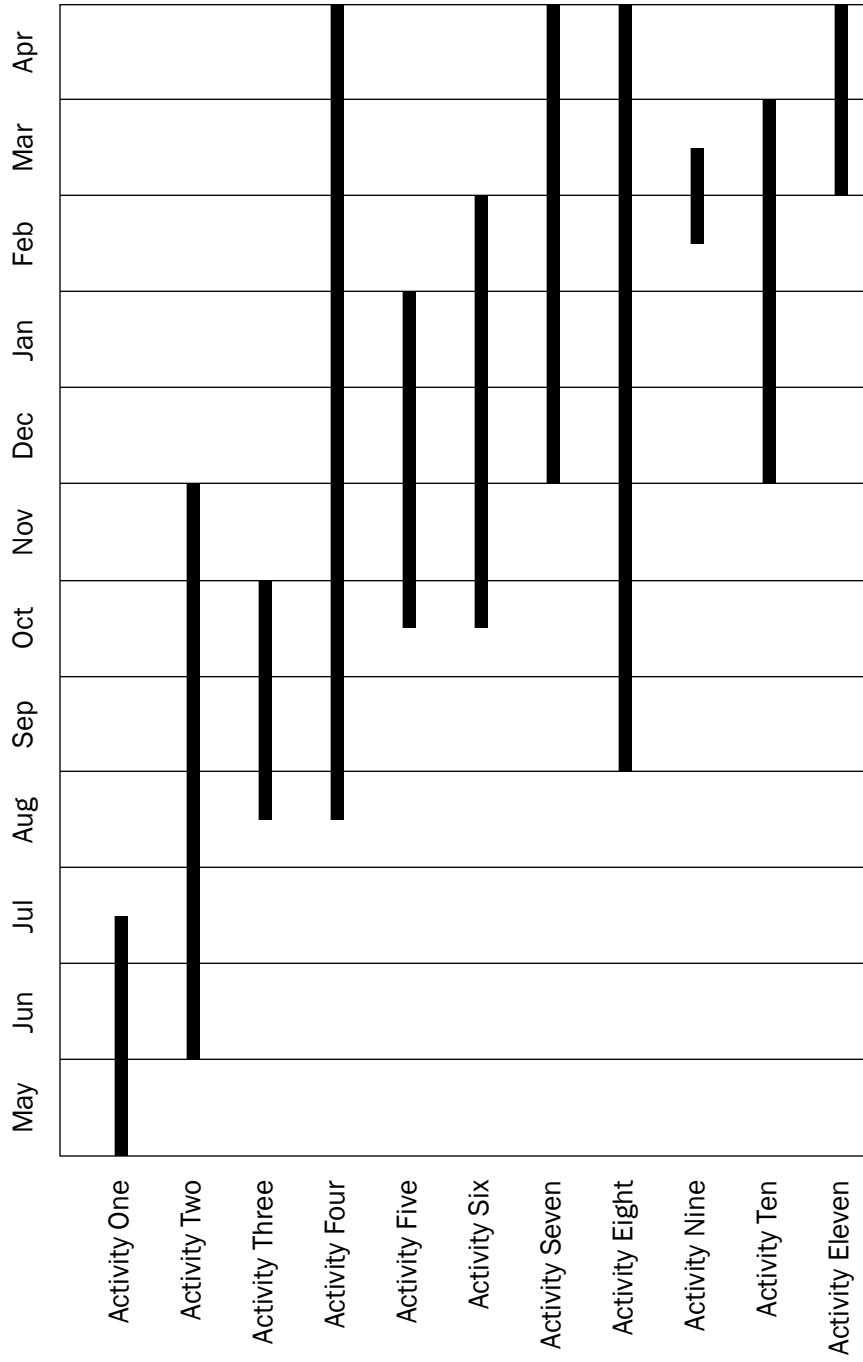
## APPLICATION CHECKLIST

An application requesting 21st Century Museum Professionals grant funding should include the following materials:

- Face Sheet: the Application for Federal Domestic Assistance/Short Organizational Form (SF-424s) on Grants.gov.
- Program Information Sheet: a three-page form available as a fill-in PDF form or Word document in the Grants.gov Zip file or on the IMLS Web site.
- Narrative (not to exceed 7 pages).
- Detailed Budget: a three-page form available as a fill-in PDF form or Word document in the Grants.gov Zip file or on the IMLS Web site, replicated for each year of the project.
- Summary Budget: a one-page form available as a fill-in PDF form or Word document in the Grants.gov Zip file or on the IMLS Web site.
- Partnership Statement, if applicable.
- Text Responses document(s), which will include the following:
  - Explanation of budget surplus/deficit, if applicable
  - Organizational profile
  - Summary of project activities
  - Institutional financial statements
  - Schedule of Completion
  - Budget Justification
  - List of key project staff and consultants
  - Resumes for key project staff and consultants (no more than 2 pages per person)
- Other attachments:
  - Proof of Nonprofit Status, if applicable
  - Current, federally negotiated rate for indirect costs, if applicable
  - Letters of commitment, if applicable
  - Optional attachments (not to exceed 20 pages)

# SAMPLE SCHEDULE OF COMPLETION

This is a sample format for a Schedule of Completion (see p. 32). Applicants may prepare theirs in a similar manner, but this format is not required. Whatever format is selected, be sure to list each major project activity addressed in the application narrative and the date each activity begins and ends. It is critical that the dates on the Schedule of Completion correspond to the project dates on the Application for Federal Domestic Assistance/Short Organizational Form (SF-424s; also known as the Face Sheet). If the proposed activity is part of a larger project, make sure the IMLS-funded portion is clearly identified.



## IMLS ASSURANCES AND CERTIFICATION

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

### **Assurances Statement**

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

## Certifications Required of All Applicants

### Financial, Administrative, and Legal Accountability

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

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

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

### Federal Debt Status

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

### Suspension, Debarment, and Other Responsibility Matters

1. The authorized representative, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:
  - (a) are not presently excluded or disqualified;
  - (b) have not been convicted within the preceding three years of any of the offenses listed in 45 C.F.R. 1185.800(a) or had a civil judgment rendered against the applicant or its principals for one of those offenses within that time period;
  - (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses listed in 45 C.F.R. 1185.800(a); and
  - (d) have not had one or more public transactions (federal, state, or local) terminated within the preceding three years for cause or default.

## IMLS ASSURANCES AND CERTIFICATION

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

### **Nondiscrimination**

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

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–83, 1685–86), which prohibits discrimination on the basis of sex in education programs; and
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

### **Drug-Free Workplace**

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

This includes: making a good faith effort, on a continuing basis, to maintain a drug-free workplace; publishing a drug-free workplace statement; establishing a drug-free awareness program for its employees; taking actions concerning employees who are convicted of violating drug statutes in the workplace; and identifying (either with this application or upon award, or in documents kept on file in the applicant's office) all known workplaces under the award.



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

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

- (a) no federal appropriated funds have been paid or will be paid by or on behalf of the authorized representative to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement;
- (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the authorized representative shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions; and

- (c) the authorized representative shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**General Certification**

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

# IMLS ASSURANCES AND CERTIFICATION

## **Certifications Required of Some Applicants**

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

### **Subcontracts**

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

1. certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
2. certification regarding debarment and suspension from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for contracts that are expected to equal or exceed \$100,000:

(a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

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

### **Historic Properties**

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

## **Environmental Protections**

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

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

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

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

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

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

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

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



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