

LINKED PAGE

http://www.ims.gov/applicants/acknowledgement_and_publications/work_products.aspx

What are IMLS's requirements for publications and other products that result from a funded project?

We require acknowledgment of IMLS assistance in all publications and other products resulting from the project. Products should be distributed for free or at cost unless we have given you written approval for another arrangement. We require that you include with your final report one copy of each project produced with IMLS funds. You may copyright any work that is subject to copyright and was developed under an award or for which ownership was purchased. We reserve, for federal government purposes, a royalty-free, worldwide, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work.

How is information shared about IMLS projects?

We encourage creators of works resulting from IMLS funding to share their work whenever possible through forums such as institutional or disciplinary repositories, open-access journals, or other media. Wide dissemination of the results of IMLS-funded projects advances the body of knowledge and professional practice in museum, library, and information services.

We may share grant applications, grant products, and reports with grantees, potential grantees, and the general public to further the mission of the agency and the development of museum and library services. We may disseminate these materials in a variety of ways, including through www.ims.gov, training sessions, and conferences.

What are the requirements for projects that develop digital products?

If your project involves the creation of new digital products such as digital collections, tools, or other resources, you must provide in the proposal narrative a detailed explanation of the need, intended uses, and audiences for these products. You must also include a detailed work plan for creating the digital products and complete and submit, with your grant application, the form Specifications for Projects That Develop Digital Products. This form, as well as a list of potentially useful resources, projects, and standards, is available on our website at www.ims.gov/applicants/forms.aspx.

What are the requirements for projects that involve research?

Data sharing is an essential component of research and expedites the translation of research results into new knowledge and practices. If yours is a project in which you collect and analyze data, we expect you to publicly release both your results and your final data set in a timely manner. Data sharing may be accomplished, for example, by depositing your data in a broadly accessible repository. The data should be released no later than the date of publication or public release of the main findings from your final data set. We expect you to include, as part of your application's data management plan, a plan for long-term data sharing or state why data sharing is not appropriate. Your project budget may include the costs of preparing the data for public release and for making the data publicly available, as long as these activities are undertaken and the costs are incurred during the grant award period.

We recognize that data sharing may be complicated or limited in some cases by institutional policies, local Institutional Review Board (IRB) rules, as well as local, state, and federal laws and regulations, including the HIPAA Privacy Rule. 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 identifiers that would permit linkages to individual research participants and variables that could lead to deductive disclosure of the identity of individual participants. When data sharing is limited, you should explain the limitations in your data sharing plans.

END LINKED PAGE

LINKED PAGE

http://www.ims.gov/applicants/partnerships_and_the_partnership_statement.aspx

Can partners participate in the award activities?

When we make a grant for a project that involves partner(s), the lead applicant organization 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 partner(s) in accordance with the terms of the grant and all applicable federal laws, regulations, and requirements. The applicant must be the fiscal agent but may subcontract with partners for other specific activities or services. Each partner is legally responsible for carrying out the activities that it agrees to perform and for complying with the terms of the grant and all applicable federal laws, regulations, and requirements.

We encourage the lead applicant to include a letter of support from each partner, detailing the activities that the partner plans to perform and indicating that the partner agrees to comply with the terms of the grant and all applicable federal laws, regulations, and requirements.

Are partnerships with other federal agencies permitted?

You may partner with other federal agencies, when appropriate to the project. However, it is important to remember that federally appropriated funds, whether they are disbursed directly to you by an agency of the federal government or indirectly through another organization, do not count toward your cost share. [Click here for further information on cost sharing.](#)

Are international partnerships permitted?

While we do not make grants to non-U.S. entities, such entities may partner with eligible U.S. organizations on an IMLS-funded project. We encourage non-U.S. libraries and museums to participate and contribute fully to the project. Such participation, however, does not count toward your cost share. [Click here for further information on cost sharing.](#)

END LINKED PAGE

LINKED PAGEhttp://www.ims.gov/applicants/getting_a_duns_number.aspx

What is a D-U-N-S® Number and how do I get one?

To improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget (OMB) directs all federal agencies to require all applicants for federal grants to provide a Dun and Bradstreet Data Universal Numbering System (D-U-N-S®) Number when applying for federal grants or cooperative agreements.

You should verify that your organization has a D-U-N-S® Number. If you find you do not, you can acquire one at no cost by calling the dedicated toll-free D-U-N-S® Number request line at 1-866/705-5711 or by visiting www.dnb.com/us.

[SIDEBAR START]

Be sure that the D-U-N-S® Number is the same as the number used in the Central Contractor Registry as part of the Grants.gov registration.

[SIDEBAR END]

END LINKED PAGE

LINKED PAGE

http://www.ims.gov/applicants/ccr_registration.aspx

What is CCR?

Central Contractor Registration (CCR) is a government-wide registry that centralizes information about grant recipients and also provides a central location for grant recipients to change organizational information. Grants.gov uses CCR to establish IDs for electronic grant applicants.

Please note that your CCR registration must be renewed *annually*.

You can find information about registering with the CCR at <http://www.ccr.gov>. Before registering, you should review the Central Contractor Registration user guide at <https://www.bpn.gov/ccr/doc/UserAccount.pdf>.

END LINKED PAGE

LINKED PAGE

http://www.ims.gov/applicants/grantsgov_tips.aspx

What is the best way of working with Grants.gov?

You must register with Grants.gov before submitting your application: www.grants.gov/applicants/get_registered.jsp. The multistep registration process generally cannot be completed in a single day. If you are not already registered, you should allow at least two weeks to complete this one-time process. **DO NOT WAIT UNTIL THE WEEK OF THE APPLICATION DEADLINE TO REGISTER.**

Before submitting an application, your organization must have a current and active D-U-N-S® Number, CCR registration and Grants.gov registration. Check your materials and registrations well in advance of the application deadline to ensure that they are accurate, current, and active.

Tips for Working with Grants.gov

1. Start early! Go to www.grants.gov/applicants/get_registered.jsp to register. Utilize Grants.gov resources at www.grants.gov/applicants/applicant_faqs.jsp. The Grants.gov website has checklists, FAQs, and online tutorials to assist you in preparing your organization to submit applications.
2. You must designate at least one Authorized Organization Representative (AOR) to use Grants.gov. Consider designating more than one AOR when you register. This will help to avoid last-minute crises in the event that your one AOR is unavailable when you are ready to submit your application. Also, you should update the AOR at Grants.gov when staff at your organization changes.
3. Make effective technological choices.
 - Download the most recent version of Adobe® Acrobat® Reader® onto your computer for best results. Make sure to submit all documents in Adobe® PDF format.
 - Follow the instructions in the Grant Guidelines to convert your documents into PDFs. (See www.grants.gov/help/download_software.jsp#pdf_conversion_programs.)
 - Use Internet Explorer® for your browser when submitting the application to Grants.gov. (See www.grants.gov/applicants/applicant_faqs.jsp#15 for more information.)
4. Contact Grants.gov's help line (www.grants.gov/help/help.jsp or 1-800/518-4726) for assistance with hardware and software issues, registration issues, and technical problems. Grants.gov's help desk hours are 24 hours a day, seven days a week. The help desk is closed on federal holidays.

END LINKED PAGE

LINKED PAGE

<http://www.imls.gov/applicants/sf424s.aspx>

How do I fill out the SF-424S?

The SF-424S is the “Application for Federal Domestic Assistance/Short Organizational Form” on Grants.gov.

Items 1-4 are automatically filled in by Grants.gov.

Item 5. Applicant Information

a. Legal Name: Enter the legal name of the organization that is making the application as it appears on your D-U-N-S® Number registration. See grant guidelines for eligibility details. If your organization does not have the authority to apply directly for funding but is otherwise eligible, enter the name of the parent organization that is submitting the application on your behalf. In that case, enter the name of the eligible entity in the space provided for "Organizational Unit" on the Program Information Sheet, Question 1b.

b. Address: Use Street1 for your 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. Your full ZIP code can be retrieved at 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 your organization from the menu in the first dropdown box. Leave the other boxes blank.

e. EIN: Enter the nine-digit number assigned to your organization by the IRS; do not use a Social Security number.

[SIDEBAR/BOX START]

An Employer Identification Number (EIN) 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.

[SIDEBAR/BOX END]

f. Organizational D-U-N-S® Number: All organizational applicants for federal funds must have a D-U-N-S® Number. Guidance for obtaining a D-U-N-S® Number can be found at www.dnb.com/us.

g. Congressional District: Enter the number of the congressional district in which your organization is located. 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 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, visit the House of Representatives website at www.house.gov and use the "Find Your Representative" tool.

Item 6. Project Information

a. Project Title: Provide a brief descriptive title for your project.

b. Project Description: Briefly describe the specific project, not your organization. Use clear language that can be understood readily by readers who might 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.

Item 7. Project Director

Provide the requested information for the Project Director, who will have primary responsibility for carrying out the project activities. Leave the Social Security number field blank. Select a prefix (even though this field is not required on Grants.gov).

Item 8. Primary Contact/Grants Administrator

Provide the requested information for the individual who has primary responsibility for the administration of the grant. For colleges and universities, this person is often a sponsored research, sponsored programs, or contracts and grants officer. Leave the Social Security number field blank. Select a prefix (even though this field is not required on Grants.gov). In some organizations, particularly smaller ones, this individual may be the same as the Project Director. If this is the case, check the "Same as Project Director" box. (If the Primary Contact/Grants Administrator is the same as the Authorized Representative, please complete all items under both 8 and 9 even though there will be some repetition.)

Item 9. Authorized Representative

Enter the name and contact information of the person who has the authority to apply for federal support of your activities and enter into legal agreements in the name of your organization. The Authorized Representative can not be the same person as the Project Director. By checking the "I Agree" box at the top of Item 9, this individual certifies the applicant's compliance with relevant federal requirements (the "IMLS Assurances and Certifications" section). We will address written correspondence to the Authorized Representative.

For Grants.gov applications, the "Signature of Authorized Representative" and "Date Signed" boxes will be populated upon submission of the application. Submission of the application by the Authorized Representative certifies compliance with relevant federal requirements, including but not limited to the IMLS Assurances and Certifications, as the signature does on a paper application.

END LINKED PAGE

LINKED PAGE

http://www.ims.gov/applicants/organizational_profile.aspx

Organizational Profile

Provide an organizational profile of no more than one page. Include the following information:

- Your organization's mission or statement of purpose, noting the source, approving body, and date of the official document in which it appears. If your organization's mission statement is longer than one page, you may excerpt from it or summarize it to convey the essential points.
- Your service area (communities and/or audiences served, including size, demographic characteristics, and geographic area)
- A brief history of your institution or organization

END LINKED PAGE

LINKED PAGE

How should evaluation be incorporated into my project proposal?

We expect your application budget to include specific and sufficient resources for project evaluation, and we expect you to use interim findings to strengthen project results. Your proposed plan for project evaluation is a significant element in the review process.

We promote outcomes-based planning and evaluation as one important way for museums and libraries to measure results. For projects that intend to effect changes in behavior or knowledge, whether for professional peers or end users, you should identify your specific audiences and say how the project will objectively and concretely measure outcomes.

We expect you to include the costs of evaluation, reporting, and dissemination in your project budget. Associated costs may be for consultants or staff, development of instruments, information collection, and/or analysis. You may budget any of these as direct costs or as cost share.

In the application narrative, you should demonstrate that the project plan and evaluation design will enable you to provide the data and analysis necessary to meet the requirements of the final report.

At the end of each project, we require you to submit a final narrative performance report that documents the project's goals and design and provides a project analysis. The report must include quantitative information on project activities and audiences reached. It must also contain quantitative and qualitative data that summarize lessons learned and document project achievements; outcomes; and, if applicable, large-scale or long-term results that affect one or more institutions, communities, or fields. Click here to see the final report form at www.ims.gov/assets/1/AssetManager/rptInstructions.doc and a glossary of key reporting terms at www.ims.gov/assets/1/AssetManager/Glossary.pdf.

What are some resources for conducting project evaluation?

In cooperation with Indiana University-Purdue University Indianapolis (IUPUI), we have supported *Shaping Outcomes*, an online course on outcomes-based planning and evaluation (OBPE), which can help applicants improve program design and evaluation. Available at www.shapingoutcomes.org, this resource

- provides an online curriculum in OBPE,
- is designed for library and museum professionals as well as students in these fields,
- teaches the concepts and vocabulary of OBPE, and
- helps applicants develop the skills necessary for producing a logic model using OBPE.

END LINKED PAGE

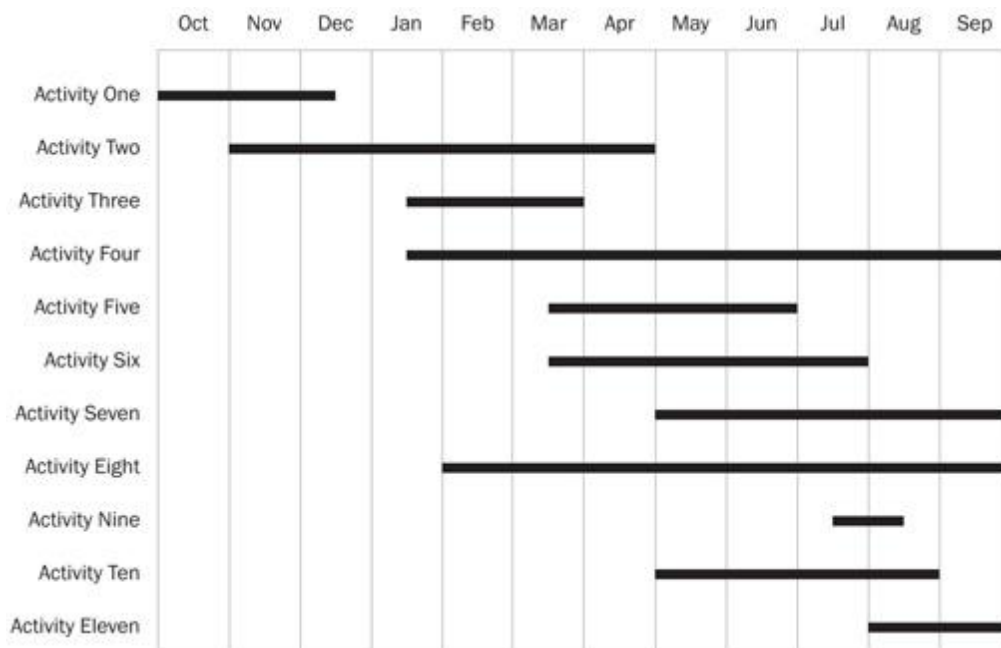
LINKED PAGE

http://www.ims.gov/applicants/schedule_of_completion.aspx

Schedule of Completion

Provide a Schedule of Completion that marks important milestones for the project and shows when each major project activity will be undertaken. The Schedule of Completion must correspond to the activities described in the narrative and the project dates on the Application for Federal Domestic Assistance/Short Organizational Form (SF-424S) and Budget Forms.

One way to plot this information is in a graph or chart that lists project activities and the corresponding months when these activities would take place during the project. See the example below. You may also format the schedule as a narrative or spreadsheet, but it should be no longer than one page per project year. Regardless of which format is used, list each major project activity addressed in the application narrative and the date each activity begins and ends. If the proposed activity is part of a larger project, make sure the IMLS-funded portion is clearly identified. *Click image below for a larger view.*



END LINKED PAGE

LINKED PAGE

Budget Documents

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

- Detailed Budget
- Summary Budget
- Budget Justification

[SIDEBAR/BOX START]

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

[SIDEBAR/BOX END]

Detailed Budget Form(s)

You must fill out one Detailed Budget Form for each year of the project. The first Detailed Budget Form should 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, you must show the subsequent 12-month period(s) on separate Detailed Budget Forms. (Note: If the project timeline exceeds any number of months beyond a 12-month period, you must submit an additional Detailed Budget Form for the subsequent months. You may not include more than 12 months on a single Detailed Budget Form.)

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by cost sharing. In-kind contributions to cost sharing may include the value of services (e.g. donated volunteer or consultant time) or equipment donated to the 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 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 your organization. You must report all revenues generated with project funds during the grant period as program income and apply it to your cost share.

[SIDEBAR/BOX START]

"Basis/Method of Cost Computation" may be a percentage of a person's time devoted to the project, a number of days, a quantity of items, and so on. These entries should clarify how you arrived at the costs indicated.

[SIDEBAR/BOX END]

1. Salaries and Wages: Include both temporary and permanent staff as well as volunteers engaged in project activities. Be certain to provide adequate information to allow us to verify computations. Staff wages must be shown either on this form (or in the Budget Justification if preferred, or if space on the form is not sufficient).

2. Fringe Benefits: Fringe benefits may include contributions for Social Security, employee insurance, pension plans, etc. Limit direct cost fringe benefits to those not included in your

indirect cost pool. Fringe benefits may be claimed only on the portion of Salaries and Wages identified for this project.

3. Consultant Fees: List the individuals or groups who will provide consulting services for the project and their fees, and explain the method of computation for the fees.

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

5. Supplies and Materials: List the costs of supplies and materials purchased specifically for the proposed project.

6. Services: List the costs of project activities to be undertaken by a third-party contractor, including a formal 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. Itemize these costs in the attached Budget Justification

7. Student Support: [Customize as appropriate, e.g. "Ignore this section. It does not apply to this program."]

8. Other Costs: Use this section for costs that are not assignable to other categories, such as internship expenses and equipment purchases. 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. You may list equipment costing less than \$5,000 under Supplies and Materials.

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

9. Total Direct Costs: Add the subtotal amounts from the previous sections.

10. Indirect Costs: Indirect costs are the same as "overhead" or "administrative costs." They are costs that are incurred for common or joint objectives and cannot be easily identified with a particular project. Examples are charges for utilities, general insurance, use of office space and equipment that you own, local telephone service, and the salaries of the management and administrative personnel of the organization. [Click here for more information about Indirect Cost Options](#)

11. Total Project Costs: [Customize as appropriate, e.g. "Complete the first line; ignore the second line, which is not relevant for the CPS grant program."]

Detailed Budget Form:

[Adobe® PDF](#) (335 KB)

[Microsoft® Word Document](#) (312 KB)

Summary Budget Form

The Summary Budget should clearly identify the amount requested from IMLS and the amount that you will provide as cost share. The line items in the IMLS and Cost Share columns should match the amounts from the Detailed Budget Form(s).

[SIDEBAR/BOX START]

Cost Share

Cost share is that portion of the project costs that is not charged to IMLS funds. These costs may be supported by a grantee's cash outlays; contribution of property and services; and in-kind contributions, such as staff or volunteer time, that support project activities.

All listed expenses, including cost sharing, must be incurred during the grant period. Federal funds may not be used for cost sharing. All instructions regarding use of funds apply to both requested IMLS funds and cost sharing.

[SIDEBAR/BOX END]

Summary Budget form:

[Adobe® PDF](#) (123 KB)

[Microsoft® Word Document](#) (83 KB)

Budget Justification

In the Budget Justification you should explain all the line items in your Detailed Budget Forms. Address the role that each person listed in the project budget will play and justify all proposed equipment, supplies, travel, services, and other expenses. Provide specifications for all hardware and software for which IMLS funding is requested. Itemize and explain any costs that you consolidated and summarized in the Detailed Budget Form within the appropriate section of the Budget Justification. Follow the format of the Detailed Budget Form's section headings.

We encourage you 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 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 grant period. Explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Document costs for third-party service providers through bids or similar means.

List the cost of project activities to be undertaken by a third-party contractor or a partner 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. Include a complete itemization of these costs as part of the Budget Justification. If there is more than one contractor, list the cost of each contract separately on the IMLS Detailed Budget Form and include an itemization as part of the Budget Justification.

END LINKED PAGE

LINKED PAGE

http://www.ims.gov/applicants/indirect_cost.aspx

What are the options for determining indirect costs?

You have four options for determining indirect costs:

1. You may choose not to include indirect costs in your budget. In this case, you may skip Item 10 of the Detailed Budget Form.
2. If you already have 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 negotiated agreement as a Conditionally Required Document with your IMLS application. We will only accept an indirect cost rate that is current at the time awards are announced.
3. If your organization is in the process of negotiating an indirect cost rate with another federal agency, you may use the proposed indirect cost rate to estimate total project costs, as long as you apply the proposed rate in accordance with the terms of the proposed agreement and include a copy of the indirect cost proposal as a Conditionally Required Document with your IMLS application. In such situations, if we award a grant, we will only accept the rate if the negotiations are final by the award date and a copy of the final agreement is submitted to us. It is possible that we may reduce the amount of the award if the final negotiated rate is less than the rate that was used for budget estimates in the application budget. However, we will not increase the amount of the award if the final negotiated indirect cost rate is higher than the rate that was used for budget estimates in the application budget.

Whether your organization has an existing negotiated agreement or is in the process of negotiating one, you must calculate total project costs using an indirect cost rate appropriate to the type of project activity proposed. For example, you may only calculate total project costs using an existing negotiated rate for research activity if the activity proposed to us is a research project. Once we accept an indirect cost rate, this rate shall be considered fixed for the duration of the award even if during the course of the award you negotiate a new indirect cost rate.

4. If your organization does not have a negotiated indirect cost rate in effect with any federal agency and does not wish to negotiate one, you may use an indirect cost rate of up to 15 percent to calculate total project costs. If you choose to use this rate, you must be careful to exclude from the budget all administrative indirect-cost-type items, including but not limited to general telephone, postage, office supplies, and office space expenses. The 15 percent rate may be applied to only the first \$5,000 of any single equipment purchase, and only the first \$5,000 of each individual consultant fee, contract, service, and other distorting costs.

However you arrive at your indirect cost rate, you may receive federal funds for only that portion of the total direct costs for which you are requesting IMLS funds. However, you may also apply your indirect cost rate to the cost share portion of your project's total direct costs, and count it as part of the calculated cost sharing in the project budget.

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

END LINKED PAGE

LINKED PAGE

Project Staff and Consultant Documents

http://www.ims.gov/applicants/project_staff_and_consultant_documents.aspx

List of Key Project Staff and Consultants

Provide a one-page list of the key project staff, consultants, and service providers who will be directly involved in the project.

Resumes of Key Project Staff and Consultants

Provide resumes of no more than two pages each for all key project staff, consultants, and service providers on the separate List of Key Project Staff and Consultants.

If you cannot identify key project personnel by the application deadline, then submit position descriptions instead. A position description does not identify a specific individual, but rather identifies the qualities and range of experience and education necessary to successfully implement project activities.

END LINKED PAGE

LINKED PAGE

http://www.ims.gov/applicants/projects_that_develop_digital_products.aspx

Specifications for Projects that Develop Digital Products

Specifications for Projects that Develop Digital Products Form

[Adobe® PDF](#) (133 KB)

[Microsoft® Word Document](#) (60 KB)

Resources for Projects Developing Digital Products

A Framework of Guidance for Building Good Digital Collections presents general principles for planning and implementing digital projects and is currently made available online by the National Information Standards Organization at <http://framework.niso.org>.

In addition, we participate in the Federal Agencies Digitization 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 (<http://www.digitizationguidelines.gov>) includes a growing list of links to relevant standards, recommendations, and other resources. While this list is not exhaustive—nor do we endorse any single resource—applicants considering digital projects may find the information useful.

You also can access descriptions of IMLS-funded digitization projects on our website at <http://www.ims.gov/recipient/grantsearch.aspx>.

[An archived list of resources is available here.](#)

END LINKED PAGE

LINKED PAGE

http://www.ims.gov/applicants/ims_assurances_and_certifications.aspx

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 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 (see 45 C.F.R. Chapter XI and 2 C.F.R. Chapter XXXI). 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, 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 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.

Nondiscrimination

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

- 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 Executive Order 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));
- 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);
- 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
- 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.

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:

- are presently excluded or disqualified;
- 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;
- 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
- have had one or more public transactions (Federal, State, or local) terminated within the preceding three years for cause or default.

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

The applicant, as a primary tier participant, is required to comply with 2 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, you as 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 Governmentwide implementation (2 C.F.R. Part 182) of sec. 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 your 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 you keep on file in your offices) all known workplaces under your 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 section 1352, title 31, U.S. Code. 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 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.

Prohibition of Subgrants

Under IMLS regulations (45 C.F.R. §1180.55), a grantee may not make a subgrant. Where necessary for the project, a grantee may contract for supplies, equipment, and services, in accordance with applicable law (e.g., 2 C.F.R. Part 215).

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 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, 1800 M Street, NW, 9th Floor, Washington, DC 20036. Or call 202/653-IMLS (4657).

6/26/12

[END LINKED PAGE]