



Native American Library Services: Enhancement Grants

FY 2021 Reviewer Handbook

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Introduction

Thank you for serving as a reviewer for the Institute of Museum and Library Services (IMLS)! We appreciate the tremendous amount of time and effort you commit to the peer review process. By lending your professional expertise, you make a significant contribution to IMLS grant programs and provide an invaluable service to the entire museum, archives, and library communities.

IMLS staff members have prepared this handbook to ensure fair and candid review of all eligible proposals. It provides you with the procedural information you need. Please use it in conjunction with this year's [Native American Library Services: Enhancement Grants Notice of Funding Opportunity \(NOFO\)](#).

Even if you have reviewed for IMLS in the past, you should read through this handbook, since we make changes each year that may impact your reviews.

Native American Library Services: Enhancement Grants Goals and Objectives

This program is designed to assist Native American libraries in improving core library services for their communities. Information needs and approaches to meeting them are evolving at an unprecedented pace in all communities, and to operate within this environment effectively for the benefit of their users, libraries must be able to both strengthen existing services and move quickly to adopt new and emerging technologies. Reflecting IMLS's agency-level goals of championing lifelong learning, strengthening community engagement, and advancing collections stewardship and access, the goals and objectives for this program are:

- Goal 1: Improve digital services to support needs for education, workforce development, economic and business development, health information, critical thinking skills, and digital literacy skills.
 - Objective 1.1: Support the establishment and refinement of digital infrastructure, platforms, and technology.
 - Objective 1.2: Support preservation and access to information and resources through digitization.
- Goal 2: Improve educational programs related to specific topics and content areas of interest to library patrons and community-based users.
 - Objective 2.1: Support the identification of the needs and interests of learners.
 - Objective 2.2: Support the development and implementation of classes, events, teaching tools, resources, and other educational services.
 - Objective 2.3: Support the evaluative assessment of library-based approaches to teaching and facilitation.
- Goal 3: Enhance the preservation and revitalization of Native American culture and language.
 - Objective 3.1: Support the development of efficient strategic partnerships within, across, and outside Native American communities.
 - Objective 3.2: Support the preservation of content of unique and specific value to Native American communities.
 - Objective 3.3: Support the sharing of content within and/or beyond Native American communities.

IMLS agency-level goals

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

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

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

Application and Review Logistics

To better familiarize yourself with the process, we are including a chart that documents the entire program cycle. Your participation in the process begins where highlighted.

May, 2021	✓	Applicants submit their applications.
May, 2021	✓	IMLS checks the applications for eligibility and completeness.
May, 2021	✓	IMLS identifies available reviewers with appropriate expertise and assigns reviewers to evaluate each application.
June, 2021	<i>ongoing</i>	Reviewers receive access to the applications, evaluate them, and complete their reviews and scores.
July, 2021		IMLS reviews all information from field reviewers.
July, 2021		IMLS staff members review the financial information for each potential grantee.
July-August, 2021		IMLS staff members recommend proposals for funding to the IMLS Director, who has the authority to make final funding decisions.
August, 2021		IMLS makes awards. Whether or not they have received an award, all applicants receive anonymous copies of the panel reviews. IMLS also sends notification of the awards to each participating reviewer.

Glossary of terms

At times, the vocabulary used on the IMLS grants management portal, eGMS Reach, does not completely match the common IMLS vocabulary. We may use terms interchangeably throughout our instructions and in the online Reach interface. Here is a breakdown of common terms you will come across while completing your review:

Panel: The online space in which you will be completing the review process

Coordinator: IMLS Staff member for technical questions you may have

Chair: IMLS staff member for content-based questions you may have

Evaluation: Your reviewer comments and feedback that are provided to applicants

Applications: Proposals from applicants that you will be reviewing

Application Number: The unique identifier assigned to each proposal

Primary Person/Individual: Project Director (PD) or Principal Investigator (PI)

Primary Institution: The lead applicant and fiscal agent for a project

Grade: The single score or number you will provide for each proposal. (Despite the term, you can edit what you have entered into “Final Grades” until the submission deadline).

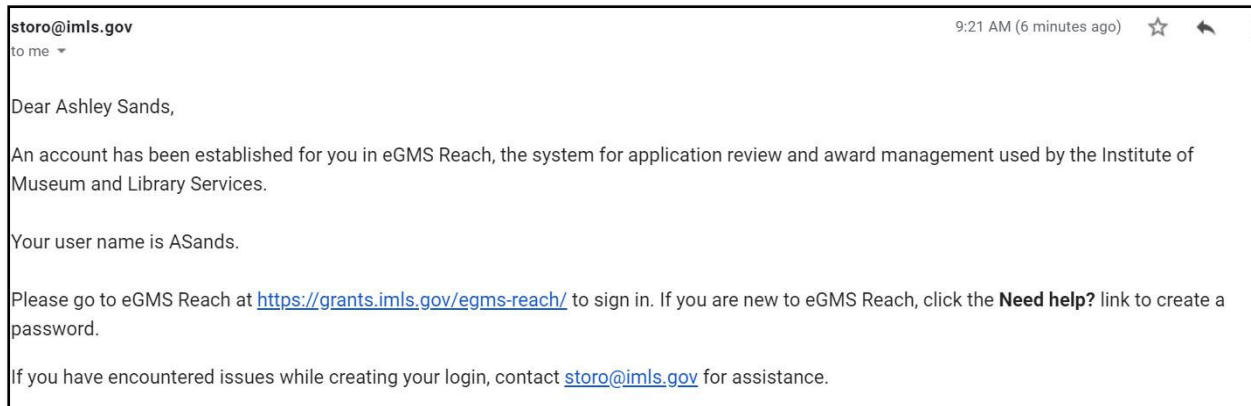
How your reviews are used

Your scores inform the ranking of proposals and are the basis for decisions about which proposals receive funding. Your work helps the Director and IMLS staff understand the strengths and weaknesses of each proposal. As such, it is important that your scores support your comments and that your comments justify your scores. Your comments also help unsuccessful applicants revise their proposals for future grant cycles.

Access to online portal

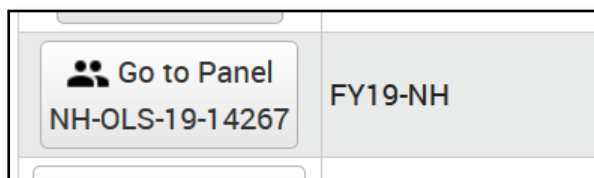
All review materials will be provided to you via the IMLS application review and grants management system maintained by IMLS. This system is called “eGMS Reach.” It is both the online portal that you will use to receive materials for review and the system where you will input your reviews.

In order to access the online portal for the first time, you will receive a separate email (see below) from IMLS prompting you to create a username and password. The email body will include instructions for how to setup your password on your first login. If you do not receive the email, please check your junk folder. If you still do not see the message, contact imls-librarygrants@imls.gov.



Please alert IMLS staff immediately if you have not received your access credentials, if any materials are missing, you cannot open them, or if you encounter any other issues.

Upon receipt of the email, you should log into eGMS Reach. After you have completed the successful login, please ensure that you can access your reviewer materials. To do this, click on the “Go To Panel” button for your panel, which starts with “NAE-OLS-21-.”



The Panel section of eGMS Reach will provide you with all of the information you need to perform and submit your reviews. It begins with IMLS contact information for the panel, followed by your reviewer materials, and then includes the applications you will be reviewing.

Your review process consists of three main activities:

- a. Preparing to begin peer review by reading available documentation
 - a. Quick Reference Guide
 - b. Reviewer Handbook (this document)
- b. Certifying the Conflict of Interest Statement
- c. Reading and reviewing the applications

Using the online portal eGMS Reach, you will complete an evaluation form that includes written comments and asks you to assign one “Grade” or score for each application. More guidance on evaluating applications is provided in this document, but if any application seems to be missing pages or other information, please contact imls-librarygrants@imls.gov.

Please note that all reviews are due on **Thursday, July 1, 2021**.

Conflict of interest

Before proceeding to the Application Tab, you must:

- 1) Review the Conflicts of Interest Statement located under your Personal Files. (To review the statement, click the paper icon); and

- 2) Certify that you have reviewed the Conflicts of Interest Statement and that you have no conflicts with the applications that have been assigned to you (to certify that you have reviewed the statement and have no conflicts, click the pencil icon to access the click-through signature function).

Once you begin reviewing your assigned proposals, you may identify other conflicts. **Contact us immediately if you identify any potential conflicts of interest.**

Time required

We estimate that it takes 1-2 hours to evaluate one application. If you are a first-time reviewer, you may need more time.

Confidentiality

The information contained in grant proposals is strictly confidential. Do not discuss or reveal names, institutions, project activities, or any other information contained in the proposals. Contact IMLS if you have any questions concerning a proposal. **Do not contact applicants directly or post on social media about your involvement in the process.**

Managing records

Keep the proposals and a copy of your reviews in case there are questions from IMLS staff. Please destroy your review materials after awards are made.

Review Preparation and Submission

Reading proposals

Your thorough reading and understanding of each proposal will be the key to providing both insightful comments and an overall rating for the proposal, ensuring that your comments are a reflection of your overall score. Before you review proposals, please read the [Native American Library Services: Enhancement Grants Notice of Funding Opportunity \(NOFO\)](#).

Review criteria

Please provide evaluative comments of 3-5 sentences minimum for each of the three review areas. Below are the review areas as presented to applicants along with the review criteria you should consider for each area:

1. Project Justification:

- Is the need, problem, or challenge to be addressed clearly identified, relevant to the goals and objectives of this grant program as well as the project category chosen, and is it supported by relevant evidence and best practices?
- Are the people who will benefit from the project clearly identified?

2. Project Work Plan:

- Are the proposed activities informed by appropriate theory and practice?
- Do the identified staff, partners, collaborators, consultants, and service providers possess the experience and skills necessary to complete the work?
- Are the time, financial, personnel, and other resources identified appropriate for the scope and scale of the project?
- Are the risks clearly stated and is the plan for mitigating them reasonable and well thought out?
- Is the methodology described for measuring performance likely to provide meaningful information?
- Is there an effective plan for communicating general findings and/or lessons learned?

3. Project Results:

- Are the project's intended results clearly articulated, realistic, meaningful, actionable, and linked to the need, problem, or challenge addressed by the project?
- Is there evidence that the project will effect meaningful change in knowledge, skills, behaviors, capabilities, and/or attitudes of the intended audience?
- Is the plan for collecting and reporting data to measure the project's success well designed and feasible?
- Will the tangible products be useful?
- Is there a reasonable and practical plan for sustaining the benefits of the project beyond the conclusion of this award?

Review criteria for each section are also outlined in the [Notice of Funding Opportunity](#).

Writing comments

You may enter your comments directly into the form or copy and paste them from a document you may have created. If you copy and paste your comments from another document, **make sure to use plain text** to avoid including any formatting code. Click on the Paste Plain Text icon to create a Paste Plain Text box. Enter your comments, and then click Paste.

Choose a score for the overall project from the radio buttons below the Results comment box.

Please note that while the eGMS Reach system is intended to auto-save every five minutes, we highly suggest hitting the save button at the bottom of the screen more frequently, and not solely relying on the auto-save feature. Please only have one application reviewer comment screen open at a given time, the system may lose your reviews if more than one application's reviews are open. Please also only use the plain text option (whether you are typing directly into the text boxes, or if you choose to copy/paste from your own software).

- Use your professional knowledge and experience to assess the information objectively.
- If you question the accuracy of any information, call IMLS to discuss it. **Do not question the applicant's honesty or integrity in your written comments.**
- Do not contact the applicant directly.
- **Analyze** the proposal in your comments; summarizing or paraphrasing the applicant's own words will not help the applicant.

Should I consider...	Yes	No
an institution's financial or staffing needs?		X
the size or age of the organization?		X
my prior knowledge of an institution or project staff?		X
whether the organization has the appropriate resources to complete the project?	✓	
whether the applicant has included the information necessary for an adequate evaluation of its merits?	✓	
whether a project is new or a resubmission?		X
the proposed cost share? (<i>IMLS will confirm whether the proposed cost share meets the program requirements.</i>)		X
an institution's indirect cost rate?		X

Characteristics of constructive and effective comments:

- Presented in a constructive manner
- Concise, specific, easy to read and understand
- Specific to the individual applicant
- Reflect the professionalism of the reviewer
- Align with the rating that is given
- Acknowledge the resources of the institution
- Reflect the proposal's strengths and identify areas for improvement

Characteristics of poor comments:

- Make derogatory remarks (Offer suggestions for improvement rather than harsh criticism.)
- Penalize an applicant because you feel the institution does not need the money (An eligible institution may receive funds, regardless of institutional need.)
- Penalize an applicant because of missing materials (If you believe a proposal is missing required materials, please contact an IMLS staff member immediately.)
- Question an applicant's honesty or integrity (You may question the accuracy of information provided by the applicant, but if you are unsure how to frame your question, contact IMLS.)
- Offer or ask for irrelevant or extraneous information (Your comments should concern only the information IMLS requests of applicants.)
- Offer limited explanation or detail for the score provided

Remember that both successful and unsuccessful applicants use your comments to help improve their projects or future proposals.

Assigning scores

After you have read, evaluated, and written comments for each proposal, please provide a single numeric score from 1-5 (5 being the highest) that reflects your opinion of the proposal’s overall quality and your recommendation of whether it should be funded this year. A score of 3 or above is typically considered “fundable.”

Fundable	Excellent	5	The proposal meets all of the review criteria (as described in the Notice of Funding Opportunity). <u>You recommend funding the proposal without reservation.</u>
	Very Good	4	The proposal meets most of the review criteria, but requires minor improvements. <u>You recommend funding the proposal.</u>
	Good	3	The proposal meets some of the review criteria, but requires some improvements. <u>You recommend funding the proposal, but acknowledge it could be more successful with some changes.</u>
Do not fund	Some Merit	2	The proposal does not meet the review criteria. <u>You do not recommend the proposal for funding, but think it could be strengthened for resubmission in a future grant cycle.</u>
	Inadequate	1	The proposal does not meet the review criteria. <u>You do not recommend the proposal for funding or for resubmission.</u>

To help applicants understand and benefit from your reviews, make sure that your scores accurately reflect your written comments.

Complete this process for all reviews you are required to return to IMLS. Please note that all reviews **must** be submitted by **Thursday, July 1 at 11:59 PM Eastern.**

Complying with Ethical Obligations and Avoiding Conflicts of Interest

As a reviewer for IMLS, you perform a vital role in ensuring the integrity of IMLS's peer review process and must carry out your duties in accordance with government ethics rules. Before you evaluate applications, we ask that you review the following **General Principles of Ethical Conduct** and **Summary of the Conflict of Interest Laws**. You will be asked to certify compliance with the IMLS Reviewer Conflict of Interest Statement and Certification. IMLS allocates up to one hour of your reviewer time for you to consider these materials.

If, at any time in the course of performing your duties at IMLS, you believe you may have a conflict of interest, please contact the IMLS staff member coordinating your review process. Other questions about the ethics rules and responsibilities may be directed to IMLS's Designated Agency Ethics Official at ethics@imls.gov; (202) 653-4787; 955 L'Enfant Plaza, SW, Suite 4000, Washington, DC 20024.

General Principles of Ethical Conduct

1. Public service is a public trust, requiring you to place loyalty to the Constitution, the laws, and ethical principles above private gain.
2. You shall not hold financial interests that conflict with the conscientious performance of duty.
3. You shall not engage in financial transactions using nonpublic Government information or allow the improper use of such information to further any private interest.
4. You shall not, except pursuant to such reasonable exceptions as are provided by regulation, solicit or accept any gift or other item of monetary value from any person or entity seeking official action from, doing business with, or conducting activities regulated by IMLS, or whose interests may be substantially affected by the performance or nonperformance of the your duties.
5. You shall put forth honest effort in the performance of your duties.
6. You shall make no unauthorized commitments or promises of any kind purporting to bind the Government.
7. You shall not use public office for private gain.
8. You shall act impartially and not give preferential treatment to any private organization or individual.
9. You shall protect and conserve Federal property and shall not use it for other than authorized activities.
10. You shall not engage in outside employment or activities, including seeking or negotiating for employment, that conflict with official Government duties and responsibilities.
11. You shall disclose waste, fraud, abuse, and corruption to appropriate authorities.
12. You shall satisfy in good faith your obligations as citizens, including all just financial obligations, especially those – such as Federal, State, or local taxes – that are imposed by law.
13. You shall adhere to all laws and regulations that provide equal opportunity for all Americans regardless of race, color, religion, sex, national origin, age, or handicap.
14. You shall endeavor to avoid any actions creating the appearance that you are violating the law or the ethical standards.

Summary of Conflict of Interest Laws

18 U.S.C. § 201 – Prohibits you from acceptance of bribes or gratuities to influence Government actions.

18 U.S.C. § 203 – Prohibits you from accepting compensation for representational activities involving certain matters in which the United States is a party or has a direct and substantial interest.

18 U.S.C. § 205 – Prohibits you from certain involvement in claims against the United States or representing another before the Government in matters in which the United States is a party or has a direct and substantial interest.

18 U.S.C. § 207 – Imposes certain restrictions on you related to your activities after Government service.

18 U.S.C. § 208 – Prohibits you from participating in certain Government matters affecting your own financial interests or the interests of your spouse, minor child, general partner, or organization in which you are serving as an officer, director, trustee, general partner, or employee.

18 U.S.C. § 209 – Prohibits you from being paid by someone other than the United States for doing their official Government duties.

Reviewer Conflict of Interest Statement

As a reviewer or panelist for IMLS, you may receive a grant application for review that could present a conflict of interest. Such a conflict could arise if you are involved with the applicant institution, or in the project described in the application, as a paid consultant or through other financial involvement. The same restrictions apply if your spouse or minor child is involved with the applicant institution or if the application is presented on behalf of an institution with which you, your spouse or minor child is negotiating for future employment.

A present financial interest is not the only basis for conflict of interest. Through prior association as an employee or officer, you may have gained knowledge of the applicant that would preclude objective review of its application. Past employment (generally more than five years) does not by itself disqualify a reviewer so long as the circumstances of your association permit you to perform an objective review of the application. If you believe you may have a conflict of interest with any application assigned to you for review, please notify us immediately.

You may still serve as a reviewer even if your institution is an applicant in this grant cycle or you were involved in an application submitted in this grant cycle, as long as you do not review any application submitted by your own institution or any application in which you were involved.

However, if you believe that these or any other existing circumstances may compromise your objectivity as a reviewer, please notify us immediately.

If an application presents no conflict of interest at the time you review it, a conflict of interest may still develop later on. Once you have reviewed an application, you should never represent the applicant in dealings with IMLS or another Federal agency concerning the application, or any grant that may result from it.

It is not appropriate, for your purposes or for the purposes of the institutions or organizations you represent, for you to make specific use of confidential information derived from individual applications that you read while you were serving as an IMLS reviewer. In addition, pending

applications are confidential. Accordingly, you must obtain approval from IMLS before sharing any proposal information with anyone, whether for the purpose of obtaining expert advice on technical aspects of an application or for any reason.

If you have any questions regarding conflict of interest, either in relation to a specific application or in general, please contact the IMLS staff member who is coordinating the review process.

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You may still serve as a reviewer even if your institution is an applicant in this grant cycle or you were involved in a proposal submitted in this grant cycle, as long as you do not review any proposal submitted by your own institution or any proposal in which you were involved. However, if you believe that these or any other existing circumstances may compromise your objectivity as a reviewer, please notify us immediately.

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It is not appropriate, for your purposes or for the purposes of the institutions or organizations you represent, for you to make specific use of confidential information derived from individual proposals that you read while you were serving as an IMLS reviewer. In addition, pending proposals are confidential. Accordingly, you must obtain approval from IMLS before sharing any proposal information with anyone, whether for the purpose of obtaining expert advice on technical aspects of a proposal or for any reason.

If you have any questions regarding conflict of interest, either in relation to a specific proposal or in general, please contact IMLS immediately.

Protecting Sensitive Data at IMLS

IMLS is committed to protecting your private, sensitive information and employs the following physical and technical safeguards when collecting museum program reviewer and panelist information:

Email Security. IMLS email is hosted on a cloud computing infrastructure which has been reviewed and approved as meeting the security requirements of the Federal Risk and Authorization Management Program (FedRAMP). FedRAMP is a government-wide standardized program for security assessment, authorization, and monitoring of cloud products and services.

FedRAMP requirements are based on (and surpass) the Security and Privacy Controls for Federal Information Systems and Organizations developed by the National Institute of Standards and Technology. FedRAMP's additional security controls address the unique elements of cloud computing to ensure all federal data is secure in cloud environments.

Secure File Transmission. IMLS Secure File Upload uses Hypertext Transfer Protocol Secure (HTTPS), a transmission protocol that verifies the identity of a website or web service for a connecting client and encrypts nearly all information sent between the website or service and the user. HTTPS is designed to prevent this information from being read or changed while in transit. HTTPS is a combination of HTTP and Transport Layer Security (TLS). TLS is a network protocol that establishes an encrypted connection to an authenticated peer over an untrusted network.

Secure File Storage. IMLS will only store secure files and any related passwords as long as necessary to complete the relevant transaction or process. A physical copy of personally identifiable information (PII) may be printed at IMLS for business use, after which the copy is secured in a locked location and destroyed after the business use ceases.

Access Controls. IMLS employs access controls to restrict access to sensitive information that is stored electronically. Access to IMLS files is restricted to authorized IMLS staff, and sensitive data is stored in folders that can only be accessed by a restricted set of authorized users. Files containing sensitive information are password-protected, providing an additional layer of security.

Records Policies. IMLS financial transaction records are subject to the agency's record retention policy and disposed of in accordance with the General Services Administration's General Records Schedule.