



# Office of Library Services National Leadership Grants for Libraries FY 2020 Phase 2 Review Information

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# Proposal and Review Process Timeline

## Phase One

1. Applicants submit preliminary proposals to IMLS.
2. IMLS checks the preliminary proposals for eligibility and completeness.
3. IMLS identifies available reviewers with appropriate expertise and assigns reviewers to evaluate each preliminary proposal.
4. Preliminary proposal reviewers receive access to the proposals, evaluate them, and complete their comments and scores.
5. IMLS convenes preliminary proposal review panels for reviewers to discuss scores and the merits of the proposals.
6. Based on reviewer comments and scores, IMLS staff members recommend proposals for invitation to the IMLS Director, who has the authority to make final invitation decisions.
7. IMLS invites select applicants to submit full proposals. Whether or not they are invited to submit a full proposal, all applicants receive anonymized copies of their peer review comments and scores.

## Phase Two

8. Invited applicants submit full proposals to IMLS.
9. IMLS checks the full proposals for eligibility and completeness.
10. IMLS identifies available reviewers with appropriate expertise and assigns reviewers to evaluate each full proposal.
11. Full proposal reviewers receive access to the proposals, evaluate them, and complete their comments and scores.
12. IMLS staff members may hold phone calls with reviewers to discuss scores and the merits of the proposals, as needed.
13. IMLS staff members review the financial information of each potential grant and grantee, including a detailed check of the proposed budget.
14. Based on reviewer comments and scores, IMLS staff members recommend proposals for funding to the IMLS Director, who has the authority to make final funding decisions.
15. IMLS makes awards. Whether or not they receive an award, all applicants receive anonymized copies of their peer review comments and scores.

## Review Process

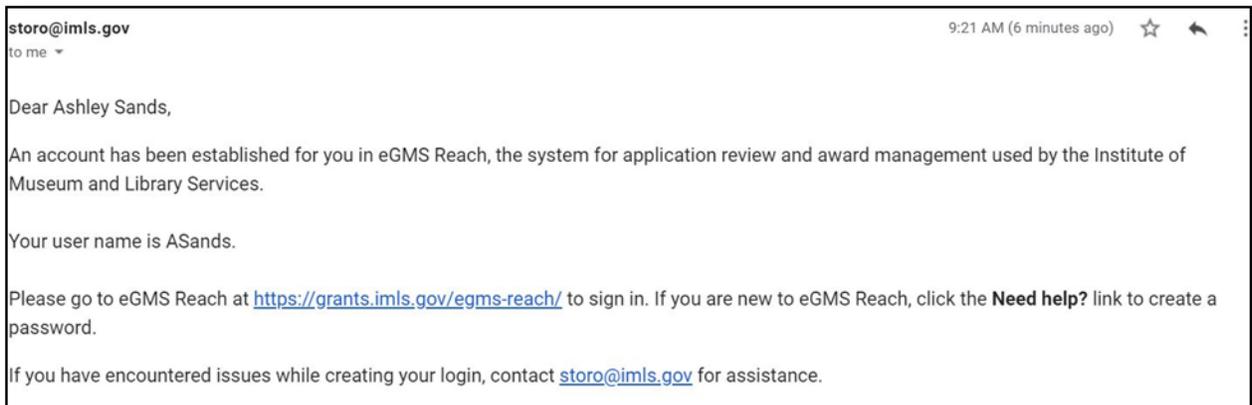
### IMLS Completeness and Eligibility Review

IMLS staff review the eligibility and completeness of applications before distributing them for peer review.

### 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 example 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](mailto: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. Your panel will have a name that begins with “FY20\_NLG.”



The Panel section of eGMS Reach will provide you with 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:

- Preparing to begin peer review by reading available documentation
  - Quick Reference Guide
  - Reviewer Handbook (this document)
- Certifying the Conflict of Interest Statement
- 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](mailto:imls-librarygrants@imls.gov).

Please note that all reviews are due by **Friday, May 22, 2020**.

## Required Conflict of Interest Statement

### 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.**

## Required administrative paperwork

### Peer Reviewer Services Agreement and Direct Deposit Forms

During your review period you will receive an email to access an IMLS Secure File Folder. This is a secure system administered by IMLS to safely obtain reviewer information. In the folder will be a Peer Review Services Agreement which is a required document and a Direct Deposit form if you are electing to receive an honorarium for your services. Instructions for using the system can be found under 'Files' in your Reach panel. Please complete these forms no later than the review due date.

## 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.**

## 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 available for technical questions you may have

**Chair:** IMLS staff member available 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.

## Reading proposals

For all questions about reviewing, either technical or programmatic, contact IMLS staff.

Your thorough reading and understanding of each proposal will be key to providing insightful comments aligned with your overall grade or score for the proposal. Before you review the proposals, please ensure you are familiar with the program Notice of Funding Opportunity (which can be found on our website, is linked below, and is available in your Reach portal), and reference it as needed throughout the review process.

Please review the [FY20 NLG Notice of Funding Opportunity](#).

We estimate that it may take one to three hours to evaluate one proposal. First time reviewers may require additional time.

## Writing comments

Write comments of 3-5 sentences minimum for each of the three review questions:

- National Impact,
- Current Significance,
- Strategic Collaborations, and
- Demonstrated Expertise.

Sub-questions to each section are provided for your reference within the review form, though do not necessarily each need to be answered individually.

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).

Reviewer comments are used by IMLS staff to inform funding decisions and are provided to both successful and unsuccessful applicants to help improve their projects or future proposals. When drafting your comments:

- Present comments in a constructive and professional manner to help the applicant improve their proposal.
- Analyze the proposal in your comments; summarizing or paraphrasing the applicant’s own words will not help the applicant.
- Use your professional knowledge and experience to assess the information objectively.
- Comments should be addressed to the applicants, not IMLS staff.

Characteristics of effective comments:	Characteristics of poor comments:
<ul style="list-style-type: none"> <li>• Concise, easy to read and understand</li> <li>• Specific to the individual proposal</li> <li>• Reflect your experience and expertise</li> <li>• Are realistic about the capacity of the institution</li> </ul>	<ul style="list-style-type: none"> <li>• Make derogatory remarks</li> <li>• Question an applicant’s honesty or integrity</li> <li>• Offer or ask for irrelevant or extraneous information</li> <li>• Offer limited explanation or detail</li> <li>• Reflect personal biases</li> </ul>

## Assigning scores

After you have read, evaluated, and written comments for each proposal, please provide a single numeric grade or 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 or not. A score of 3 or above is typically considered “fund-able.” (See the Guidance for Assigning Scores below for more information.)

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

## Guidance for Assigning Scores

Fund	Excellent	5	The proposal exemplifies <b>all</b> of the indicators of successful projects (as described in the Notice of Funding Opportunity). <u>You recommend funding the proposal without reservation.</u>
	Very Good	4	The proposal demonstrates <b>most</b> of the indicators of successful projects but requires minor improvements. <u>You recommend funding the proposal.</u>

	<b>Good</b>	<b>3</b>	The proposal demonstrates <b>some</b> of the indicators of successful projects but requires some improvements. <u>You recommend funding the proposal, but acknowledge it could be more successful with some changes.</u>
<b>Do not fund</b>	<b>Some Merit</b>	<b>2</b>	The proposal <b>does not</b> demonstrate the indicators of successful projects. <u>You do not recommend the proposal for funding, but think the proposal could be strengthened for resubmission in a future grant cycle.</u>
	<b>Inadequate</b>	<b>1</b>	The proposal <b>does not</b> demonstrate the indicators of a successful project. <u>You do not recommend the proposal for funding or resubmission.</u>

## COVID-19

As we are all very aware, the COVID-19 pandemic is evolving each and every day. It is unknown how long, and to what extent, social isolation or other measures will be taken with our nation’s libraries, museums, and archives. Please note that full proposal applicants were only provided with about ten weeks (February – mid April) to develop their full proposals. It is possible that some applicants were unable to finalize some components of their application, such as secure final commitments from potential partners, due to the uncertainty of this time period. Given the uncertainty, we ask peer reviewers to provide some leniency to applicants who may have been impacted by the virus and the social isolation measures. While we ask you to make an indication of any potential concerns in your comments, please do not reduce your grade/score in relationship to COVID-19.

## 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.

## Purpose and Scope of National Leadership Grants for Libraries

National Leadership Grants for Libraries (NLG-L) support projects that enhance the quality of library and archives services nationwide by advancing theory and practice. Successful proposals will generate results such as new tools, research findings, models, services, practices, or alliances that will be widely used, adapted, scaled, or replicated to extend the benefits of federal investment. This work may be achieved through proposals at various stages of maturity (exploring, piloting, enhancing, or scaling).

Please review the [FY20 NLG Notice of Funding Opportunity](#).

## IMLS agency-level goals

The mission of the Institute of Museum and Library Services (IMLS) is to inspire libraries and museums to advance innovation, lifelong learning, and cultural and civic engagement. We provide leadership through research, policy development, and grant making. U.S. museums

and libraries are at the forefront in the movement to create a nation of learners. As stewards of cultural and natural heritage with rich, authentic content, libraries and museums provide learning experiences for everyone. In FY2018-2022, each award under this program will support one of the following three goals of the [IMLS strategic plan Transforming Communities](#):

- **Lifelong Learning:** IMLS supports learning and literacy for people of all ages through museums and libraries.
- **Build Capacity:** IMLS strengthens the capacity of museums and libraries to improve the well-being of their communities.
- **Increase Public Access:** IMLS makes strategic investments that increase access to information, ideas, and networks through libraries and museums.

The goals focus on achieving positive public outcomes for communities and individuals; supporting the unique role of museums and libraries in preserving and providing access to collections and content; and promoting library, museum, and information service policies that ensure access to information for all Americans.

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

### Indicators of successful projects

Indicators (characteristics) of successful projects in the National Leadership Grants for Libraries Program are as follows:

- **National impact:** Successful projects address key needs, high priority gaps, and challenges that face libraries or archives. They should expand the boundaries within which libraries and archives operate, show the potential for far-reaching impact across size and complexity of institutions, and influence theory and practice.
- **Current significance:** Successful projects address a critical issue or opportunity for libraries and archives, and build on current strategic initiatives, knowledge, and agendas in these fields. They should be based on a clear understanding of existing work and the broader environments (e.g., economic, demographic, technological, social) surrounding libraries and archives. It is important to identify, assess, and manage project risks as well as to identify project outcomes and impacts
- **Strategic collaborations:** Successful projects involve key stakeholders and partners. These collaborations should establish or deepen strategic relationships and partnerships or engage intermediaries, both inside and outside of the library and archival fields. Collaborations strengthen expertise, leverage resources and relationships, expand development or implementation of services, and strengthen,

amplify, or complement the role of libraries and archives in achieving national impact for the field and within their communities.

- **Demonstrated expertise:** Successful projects demonstrate a thorough understanding of the current state of and gaps in relevant theory and practice. They should establish how the team possesses the necessary skills, experience, and knowledge to realize significant shifts across the field. They should also demonstrate a thorough understanding of the realities of implementation and user adoption of new services, practices, or perspectives.

## Project categories

The project categories are:

- Lifelong Learning
- Community Catalysts
- National Digital Infrastructures and Initiatives

Applicants must designate one of these project categories.

**Lifelong Learning:** We are interested in proposals that will have a significant national impact on the capacity of libraries and archives to support cross-disciplinary and inquiry-based methods of learning, foster attitudes of discovery, and cultivate skills such as critical thinking, innovation, creativity, communication, and collaboration. Work in this category may include exploring, piloting, scaling, or enhancing programs, services, and partnerships to help users gain literacies and skills, and facilitate experiential and self-directed learning beyond the classroom. Work in this category may also address barriers that limit users' access to information resources, competency-building opportunities, and formal and informal networks. Proposals should develop dynamic, relevant, and applied learning opportunities; demonstrate a thorough understanding of how library staff and resources can foster deeper learning; and include evaluation of user motivation, adoption, retention, and application of new skills and literacies. Proposals should leverage the distinct role of libraries as trusted sources of information, address substantial opportunities in library and archival practice, and ensure that proposed activities exemplify library principles and values.

Proposals in this category may focus on:

- Fostering collaborations between libraries and formal or informal learning organizations to address issues of shared concern and reinforce libraries' roles as essential community hubs for lifelong learning. Possible partner organizations might include, but are not limited to, museums, school systems, universities, extension programs, youth-serving organizations, departments of correction, and workforce or economic development organizations.
- Exploring, piloting, scaling, or enhancing replicable library programming, models, and tools that provide opportunities for cross-disciplinary and inquiry-based learning for users of all ages. Topics addressed may include, but are not limited to, informal STEM or other types of participatory learning; community or citizen science; early learning; workforce development; and digital, information, health, financial, media, civic, and other types of literacies.

- Investigating questions related to how library services impact user learning. They should be informed by current library and archival practice, demonstrate mutually beneficial relationships between researchers and practitioners and communicate findings in ways that lead to demonstrable improvements to library services.
- Facilitating opportunities for continuous learning for families and individuals of diverse cultural and socioeconomic backgrounds and needs, including, but not limited to, young children and their families or caregivers; tweens and teens; un- and under-employed adults looking to make career transitions or re-enter the workforce; veterans; immigrants and refugees; individuals with disabilities; English language learners; and senior citizens.

**Community Catalysts:** We are interested in proposals that will have a significant national impact on the capacity of libraries and archives to serve as catalysts that contribute to the wellbeing of communities. In addition to directly providing programs and services, libraries and archives may also serve as partners or intermediaries that strengthen the work of collaborators, community members, and community networks by leveraging their expertise, relationships, networks, or infrastructures. Work in this category may include exploring, piloting, scaling, or enhancing approaches that strengthen civic and cultural engagement, foster community health, promote digital inclusion, increase equity and access, support economic vitality, or decrease social isolation. Proposals should address substantial opportunities in library and archival practice, ensure the proposed outcomes exemplify library principles and values, draw upon current approaches in collective impact and community development, and be community driven.

Proposals in this category may focus on:

- Enhancing methods for collaboration between libraries and stakeholders to address community needs and leverage community opportunities. Possible partner organizations might include, but are not limited to, museums, school systems, service organizations, workforce or community development groups, community colleges, or community associations.
- Exploring and developing new, improved, or potentially scalable participatory library programming models that engage communities and individuals of diverse cultural and socioeconomic backgrounds. Identification of opportunities should be based on methods of analysis that may include asset mapping, public data mining, social network analysis, journey mapping, and generating impact indicators in collaboration with the community (see [IMLS Community Catalyst](#) and [Community Salute Initiatives](#)).
- Developing, implementing, assessing, and scaling programs, services, tools, and partnership models focused on enhancing opportunities and well-being in communities. Topics may include, but are not limited to, workforce and economic development; financial, health, or legal services; and increasing equity and access.
- Assessing how libraries and archives create, develop, implement, and sustain collective impact approaches in communities. These may include, but are not limited to, areas that are rural, isolated, or experiencing economic distress. Some factors to consider may be social and economic conditions, types of anchor institutions, infrastructure, transportation, and geographic and physical barriers.
- Exploring widespread community challenges and opportunities for growth and collaboration that are informed by or build on current library and archival practice

and feature mutually beneficial relationships between researchers and practitioners. Findings should be communicated in ways that could lead to demonstrable and responsive improvements in library services, sustained community engagement, enhanced commitment of partners to collective efforts, and increased reach to new and existing library and archives users and underserved audiences.

**National Digital Infrastructures and Initiatives:** We are interested in proposals that will have a significant national impact on the capacity of libraries and archives to provide access to digital content, collections, and services to a wide range of users. Work in this category may include exploring, piloting, scaling, or enhancing open source digital library infrastructures, efforts to engage communities with digital library content and collections, and other activities related to leveraging shared tools and services. Proposals should address substantial opportunities in library and archival practice and ensure that the proposed outcomes exemplify library principles and values. Applicants are encouraged to reference [National Digital Infrastructures and Initiatives: A Report on the 2017 NDP at Three Forum](#) (PDF, 140KB) when developing their proposal.

Proposals in this category may focus on:

- Leveraging intersections between digital challenges in libraries and the work of experts in other fields to advance theory and practice.
- Exploring methods, tools, and techniques for sustainably and efficiently providing access to digital content and collections at scale for users of all interests and skill levels.
- Assessing barriers to the adoption of tools and services, developing realistic and scalable solutions to those barriers, and increasing the accessibility of content and collections to a wide range of users through effective communications.
- Integrating shared resources and collaborative networks for public access to and preservation of digital library content and collections at institutions of all types and sizes.
- Enhancing the sustainability, interoperability, and accessibility of digital content and collections to provide long-term impact to and value for diverse and evolving user communities.
- Fostering community memory and identity through the development, enhancement, and long-term maintenance of digital collections and community collaborations.
- Advancing realistic and sustainable approaches for the stewardship of new or complex content types or digital formats.
- Enabling the ethical stewardship of diverse or culturally sensitive digital content and collections through inclusive collaborations, tools, interpretation, and co-developed best practices.
- Enhancing information literacy and digital inclusion efforts through expanded broadband connectivity, data privacy and security, innovative collaborations, or civic data use.
- Exploring new approaches for engaging communities in the co-creation, interpretation, and stewardship of digital library content and collections, while keeping in mind broader applicability to other contexts and future sustainability

## Funding categories

The funding categories are:

- Planning
- National Forum
- Project
- Research in Service to Practice

Applicants must designate one of these funding categories.

**Planning Grants** allow project teams to perform exploratory activities, such as analyzing needs and feasibility; solidifying partnerships; developing project work plans; or developing early prototypes, proofs of concept, and pilot studies. Methods used to assess the outcomes should be appropriate to the planning category. Applications are expected to provide a basic framework for planning activities that have the potential to lead to a future project. Planning Grants are for a period of one year.

**National Forum Grants** the opportunity to convene qualified experts and key stakeholders, including those from adjacent fields as appropriate, to help explore current or emerging issues or opportunities that are important to libraries or archives across the nation as well as to their communities, partners, and stakeholders. National Forum Grants may consist of one or more meetings and related activities. Recipients are expected to produce reports or other deliverables for wide dissemination and are encouraged to consider leveraging technology to allow broad participation, such as virtual meetings or live-streaming. Additional mechanisms for engaging stakeholders and building awareness of the findings are encouraged. National Forum Grants are for periods of one to two years.

**Project Grants** support the development, implementation, and evaluation of work that transforms how libraries and archives serve the nation. Proposals should provide clear evidence of national impact, current significance, strategic collaborations, and demonstrated expertise. Projects may further pilot, test scalability or feasibility, expand existing products or services into new audiences or contexts, or enhance existing projects or initiatives. Proposals should not simply sustain current activities or represent incremental improvements to existing programs. Applicants should design their proposed work to ensure that new practices have the potential to be easily adoptable, sustainable, and widely implementable across the field. Proposals should feature methods of evaluation appropriate to the project's phase of maturity. Project Grants are for periods of one to three years.

**Research in Service to Practice Grants** involve the investigation of key questions relevant to library or archival tools and services. These proposals should build on prior empirical, theoretical, or exploratory work in libraries and archives or other disciplines (as they relate to libraries or library services). Proposals must include clearly articulated research questions and feature appropriate methods, including relevant theoretical or conceptual approaches, data collection, and analysis. Findings and their implications for library and archival practice should be shared broadly throughout the grant period, rather than exclusively at the end of

the project. Dissemination activities should not be limited to publishing journal articles and presenting at academic conferences. Research projects should not be designed with a deterministic agenda or predetermined outcomes. Proposals focused on evaluation are not appropriate for the Research in Service to Practice Grants category and should be submitted to the Project Grants category above. See Guidance for Research Applications. Research in Service to Practice Grants are for periods of one to three years.

## Guidance for Research Applications

Please note that research and information collection is subject to applicable law, including but not limited to 45 C.F.R. pt. 46 (Protection of Human Subjects); see also the IMLS Assurances and Certifications.

An effective research project, and a proposal appropriately aligned with the Research in Service to Practice category, should answer the following questions in the project narrative.

**What are the specific research questions our project will attempt to answer?** List the question or questions that will drive your proposed activities. Research questions should be clear and concise to help reviewers understand what you wish to learn.

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

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

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

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

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

**How will we report the information?** Address how you will communicate the results to a variety of target audiences with different levels of expertise, especially practitioners.

**How will we manage the research data and make it available for future use (as applicable)?**

Explain how you will manage, share, preserve, and document the information and research products you will create during the project. We expect you to deposit data resulting from IMLS-funded research in a broadly accessible repository that allows the public to use the data without charge no later than the date upon which you submit your final report to IMLS. The data should be deposited in a machine-readable, non-proprietary digital format to maximize search, retrieval, and analysis.

## 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](mailto: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.