

## FY 2022 LATINO INITIATIVES POOL (LIP) – GUIDELINES

### Overview Information

#### ABOUT

The Latino Initiatives Pool is a federal fund managed by the Smithsonian Latino Center providing financial support to Smithsonian units for exhibits, research, collections, conservation, archival work and school and public programs. These projects must further the understanding and appreciation of **U.S. Latino** contributions in the areas of science, history, art and culture. Acting on the recommendations of a review panel, the Latino Center directs funds to programs and projects which demonstrate the greatest public impact and represent and highlight the U.S. Latino experience. The Provost/Under Secretary for Museums, Education and Research makes the final decision on the awards.

The Latino Initiatives Pool is one of the centrally managed award programs and federal pools at the Smithsonian Institution. Please refer to SD712 for a list of other pools and guidelines.

#### ELIGIBILITY

Only Smithsonian units that currently receive a Federal appropriation are eligible to submit proposals. **A unit may submit more than one proposal in a fiscal year, but not more than five proposals.** The principal investigator/project leader designated in each application must be a Smithsonian employee. This requirement, however, does not preclude applicants from partnering with external organizations or federal agencies. Fellows, contractors, and interns are not allowable as principal investigators as their term of service may expire prior to the successful completion of the project.

Proposals must demonstrate a substantial content link to the contributions and experiences of U.S. Latinos. Units seeking 80% of project funding are not eligible for consideration. **Units with outstanding final reports for LIP awards received in FY 2020 will not be eligible to receive additional awards in FY 2022.**

#### IMPACTS OF COVID-19

We recognize the unprecedented impacts of the pandemic and acknowledge that there is uncertainty regarding when travel, in-person events, and normal operations will resume. We advise that units consider submitting projects that might be accomplished digitally or remotely. If the project includes requests for travel funds – both staff travel and/or speaker/participant travel – or funds to support an in-person event, please provide an alternate plan if travel and gathering restrictions remain in place.

If you are currently administering funds from the previous fiscal year that have been impacted by the COVID-19 pandemic, please carefully consider your budget request for this application. Units

with large balances may not receive all requested funds if no solutions for the timely use of their existing funds have been planned and communicated to LIP Manager. Please check with your unit Financial Manger if you have any concerns on Prior Year balances.

## **TYPES OF AWARDS**

The Latino Initiatives Pool provides funding for varied projects including research, collection and archive assessments and acquisitions, conservation, public programs, exhibitions, web and new media initiatives, curriculum development, and educational activities.

Award categories have been defined as follows:

- *Research*: Supports scholarly activities, fellowships, and free publications that document how Latinos have shaped the American historical, cultural, artistic, and scientific landscapes.
- *Collections and Archives*: Supports collections and archival planning, conservation, digitization, and new acquisitions.
- *Exhibitions and Programs*: Supports a variety of projects including on-line and in person exhibitions, public programs, workshops, symposia, conferences, and seminars.
- *Education and Access*: Supports a variety of projects including school programs, family programs, educational curriculum, internships, trainings, websites, mobile apps, and new media products.

## **Application Process**



### **HOW TO PREPARE AND SUBMIT A PROPOSAL:**

It is the responsibility of the applicant to secure the authorization of the **unit director**, **department head** (if applicable) and **financial manager** prior to submitting a proposal for the Latino Initiatives Pool. If stipend support for an internship is being requested, signature of the **unit internship manager** is also required.

A complete proposal includes:

- project cover sheet
- contact information
- proposal details
- connection to LIP priorities
- listing of team and/or collaborators
- project narrative  
(*see description below*)
- goals
- implementation plan
- budget and budget justification  
(*reviewed by unit funds manager*)
- previous funding history
- evaluation and assessment plans
- required signatures

**The project narrative must include ALL of the following:**

- Detailed abstract explaining the project, its significance, principal activities, and expected results
- Project staff responsibilities
- If applicable, the anticipated roles of contractors and interns. Application must clearly identify internship goal and show understanding of difference between internships and fellowships. **Internship goals document must be approved and signed by unit's internship manager.**
- How the mission and resources of the unit support the project
- How the project impacts the unit's research, exhibitions, public and educational programs, collections and archives, and/or publications
- Description of target audiences and how they will be served
- How the project expands the Smithsonian's Latino audience
- If applicable, the roles of collaborating organizations or units (e.g., other Smithsonian units or affiliates, schools, universities, or outside institutions)
- Innovative features of the project
- Description of fundraising strategy and identification of potential external funds

**FUNDING PRIORITIES**

**Each proposal should build on one or more of the following:**

- Document the historic and ongoing Latino presence and impact on the United States through study and the building of collections and archives
- Present a multifaceted and inclusive picture of the Latino experience through museum exhibitions
- Educate all visitors about Latino contributions through dynamic public and educational programming
- Where appropriate and feasible, make the best and highest use of online content and technologies
- Encourage dialogue between Latinos and other communities
- Foster a network of cooperating scholarly, education, and cultural and science institutions and other stakeholders to support its activities
- Support projects with the potential to attract matching and ultimately sustaining funds.
- Promote collaboration among Smithsonian units

**COLLABORATIONS**

When submitting proposals, Smithsonian units are strongly encouraged to collaborate, where feasible, with other units, and their curators, content specialists, and educators. In the case of multi-unit projects, the collaborating units must designate one unit as the "lead" organization and assign a principal investigator for the project. The principal investigator will be responsible for

the administrative and financial management of the award, as well as ensuring that all reporting requirements are met. All proposed collaborators must be aware they are included in the application. Please ensure that if you plan on submitting a proposal referencing Latino content experts, they have been consulted and appear on the Project Team application page.

### **EXCLUSIONS (PLEASE READ CAREFULLY)**

Latino Initiatives Pool funds may **not** be used for any activity associated with:

- fundraising
- advertising and marketing (except to provide information only about the project or exhibition. SEE SD 323 for details on using federal funds for advertising.)
- leasing of facilities
- building construction
- contributions to endowments
- purchasing food/beverages
- purchasing of equipment unrelated to the specific project (equipment should be under 5K and must be unit controlled and used for other Latino projects)
- funding Smithsonian staff salaries and benefits
- for all other general operating expenses of the unit

Additionally, Latino Initiatives Pool funds cannot be used for publications that will be sold regardless of whether or not a profit is made. Furthermore, staff S&B and existing unit equipment cannot be listed as unit contributions in the budget section of the project proposal.

### **USE OF INTERNS**

LIP funds can be used to support interns, and SLC strongly encourages the development of opportunities for diverse interns to learn about the Smithsonian and the U.S. Latino experience. Smithsonian internships are learning experiences guided by a Smithsonian mentor with the aim to provide educational training experience made for the benefit of the intern and required hands-on guidance. Interns should not be used in place of staff or contract positions to complete project tasks. If interns are included in project, please be sure to state their educational objectives and mentor. Please contact the Office of Internships or Office of Fellowships for guidance on SI-wide approved stipend levels and other requirements prior to proposal submission. **An internship goals document must be approved and signed by unit's internship manager.**

### **CONTRACTOR SUPPORT**

Primary investigators that request funding support for individual contractor assistance must have Contracting Officer Technical Representative (COTR) certification within three months of award notification. **Failure to receive the appropriate credentials may result in contract funds returned to the centralized Pool.** A draft Statement of Work must be included with the application. As a further reminder, Contractors are not to serve as personal assistants to staff, the Statement of Work (SOW) must include clear deliverables related to the LIP project and the contractor should not be expected to perform work outside of their original scope. Independent

contractors are not staff and should not be expected to perform staff duties, including making travel arrangements, translations (if not on SOW), or supervise interns.

## Evaluation Criteria

Proposals are evaluated based on four general criteria: **intellectual quality and significance, feasibility, impact, and level of unit's funding support.** The Latino Initiatives Pool is intended to support a project financially through its early stages, and should not sustain the lifetime of the project without substantial unit or external financial contribution.

Intellectual quality and significance:

- Proposal's intellectual premise is clear and persuasive.
- Project addresses topics of relevance and importance.

The following may also apply to some projects:

- Project contributes to documenting, surveying, and cataloging Latino collections and archives at the Smithsonian.
- Project includes a strong bilingual educational component or product.
- Project is aligned to national and state teaching standards.

Feasibility:

- Project format is appropriate to the ideas, themes, and intended audience.
- Project activities are well-planned and described in adequate detail.
- Project is conceived and designed to meet the key objectives.
- Plan for implementation is reasoned, comprehensive and feasible.
- Project costs are reasonable in view of its design and likely results.
- Potential for attracting matching, and ultimately sustaining, funding from external sources.

Impact:

- Project has measurable objectives and includes a viable plan for assessing outcomes.
- Project promotes collaborations with other Smithsonian units and/or external partners.
- Project stimulates interest in both Latino and non-Latino audiences.
- Project has significant impact on a geographic region or market.
- Public awareness and outreach plans have been developed.
- Project utilizes new media and web technologies to reach the widest possible audiences.

Level of unit's funding support:

- Proposals **seeking more than 80%** of project funding are **not eligible** for consideration.

- Smithsonian **staff salaries and existing unit equipment cannot** be listed as a unit contribution.
- Funding requests for an ongoing project should show proof of increased unit contributions through the life of the project.

## Application Timeline

### REVIEW PROCESS

A panel comprised of Smithsonian Institution evaluators review, rate, and rank each proposal in accordance with the evaluation criteria and make recommendations to the Smithsonian Latino Center director. The panel may recommend full or partial funding, a planning award to further study the project, suggest ways to strengthen the project for current or later funding, or recommend no funding. The Latino Center director then makes recommendations for funding to the Under Secretary for Museums & Research, who then makes the final decisions.

### AWARD NOTIFICATION

Notification letters are issued by the Latino Initiatives Program Manager upon finalization of recommendations and availability of the Federal appropriation. Award letters contain the following information:

- the approved project, amount awarded, including information about partial awards, if applicable
- an outline of the conditions of the award, including reporting requirements (an interim and final report for each award is required).
- the financial and administrative responsibilities of the project leader and administrative officer
- the process for requesting funds reprogramming

If the principal investigator of an awarded program transfers from one unit to another unit, the PI must still be consulted on the project and serve as point of contact to Latino Initiatives Pool Program Manager. A new PI must be assigned for the awarded unit and **written notice** must be given to the Smithsonian Latino Center.

### USE OF FUNDS AND OBLIGATION SCHEDULE

All project leaders are required to follow Smithsonian procurement policies, as well as those governing the use of the funds. **Requests for reprogramming** (the use of funds for purposes other than those outlined in the approved proposal and budget) **must be submitted via memo** to the Latino Initiatives Pool Manager, copying the Latino Initiatives Pool Funds Manager, Amy Adams, which will provide the unit a written decision. Funds may not be used for any unapproved purpose.

FY 2022 LIP awards must be obligated within 18 months from receipt of the funds, but NLT July 31, 2023. If you received funding from the previous year toward the same project, please ensure to use those funds first and are aware of year-end deadlines. Please note that unit balances of the Latino Initiatives Pool fund are monitored and will be reviewed at the end of the 12th month for possible withdrawal and reallocation to other Latino Initiatives priorities.

**All email communication related to use of funds must include your unit's funds manager or your request may not be approved.**

## Program Requirements

### CREDIT LINE

The following statement **must** be prominently included in all projects, educational materials, public programs and promotion or publicity materials supported by the Latino Initiatives Pool:

“This [project/program/event/etc.] received federal support from the Latino Initiatives Pool, administered by the Smithsonian Latino Center.”

**For museum labels, the following may be used -**

“Museum purchase through the Smithsonian Latino Initiatives Pool, administered by the Smithsonian Latino Center.”

**Spanish:**

Esta/e [proyecto/programa/evento/etc.] recibió apoyo federal del Fondo de Iniciativas Latinas, administrado por el Centro Latino Smithsonian

**THIS TEXT CANNOT BE MODIFIED.**

### UPDATED REPORTING GUIDELINES

Current year award recipients (FY2022) must submit an INTERIM report to SLC by October 30<sup>th</sup> if your project crosses over fiscal years.

The Interim report should include:

- milestones met
- deadline delays
- budget vs. actuals to date by budget lines
- budget modification request between lines if needed

This will allow units an opportunity to review the projects, timelines, and spending plans to ensure funds are properly used before they expire. We encourage any funds that will not be needed for the project to be returned to the pool ASAP in order for SLC to repurpose the funds to other projects.

Units that don't monitor the project and funding will be in jeopardy of future awards.

**A FINAL report is due for ALL projects no later thirty days from the completion of the project.**

Final reports should describe the project results, including:

- an assessment of the project outcomes
- a financial report
- collateral produced
- project images as individual files, not via word document (via DropBox)

Failure to comply with reporting requirements will result in the applicant's ineligibility for future Latino Initiatives Pool awards.

**Any major and/or unexpected budgetary or personnel changes must be reported immediately by way of a memo to the Latino Initiatives Pool Manager, Diana C. Bossa Bastidas, and the Latino Initiatives Pool Budget Analyst, Amy Adams. Please cc your unit's administrative officer in the memo.**