



Please feel free to ask questions throughout the training session. Participant audio will not be muted unless there are noise issues. You can also type your questions into the chat box.

The handout from today's session is available in the Materials Section of Go to Training. If you do not see the TMG Grant Management PDF, click on the plus sign next to materials and it should appear.

The handout will also be posted on the Library Development LSTA Grants page in the LSTA Online Grant Training Handouts section.

## Session Objectives

1. Grant management basics
2. Report requirements
3. Prior approvals and amendments
4. Grant monitoring
5. Best practices
6. Grant terminology



During the session we will look at:

1. Grant management basics, like how to accept the grant
2. When the final report is due and what we expect to see on it
3. What prior approvals are needed before purchasing an item and when and how to obtain an amendment
4. What grant monitoring is and why and how we do it.
5. Best practices that help bring projects to successful conclusion.
6. Grant terminology – so we make sure we are using the terms in the same way

**Grant Management  
Basics**



## Accepting the Grant

- Sign and return one copy of the grant acceptance form
- Retain a copy of the signed grant acceptance form in your file



Sign and return the grant acceptance form in your award packet to the State Library within 10 business days of receipt. Be sure to keep a copy of the signed grant acceptance form in your files as well. Typically we see the Library Director sign this form, but the signee may vary based on your library's bylaws.

By accepting grant funds, recipients agree to be bound by all applicable public policy requirements, many of which are included by reference in the grant agreement. Failure to comply with these requirements may result in suspension or termination of the award and government recovery of funds. Failure to comply could also result in civil or criminal prosecution.

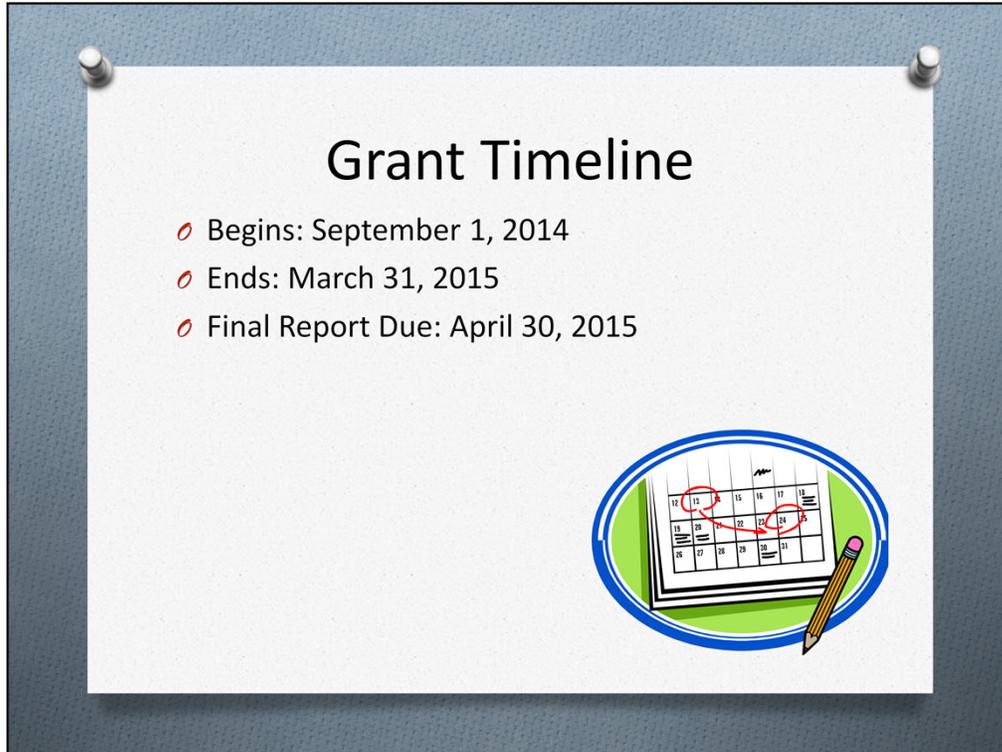
# Accepting the Grant

## o Statutes and Regulations

- Museum and Library Services Act of 2003: Public Law 108-81, 117 Stat. 991 (2003)
- Administrative Requirements: 45 CFR 1183
- Cost Principles: 2 CFR 225
- Debarment and Suspension: 45 CFR 1185
- Drug-Free Workplace: 45 CFR 1186
- Non-Discrimination: 45 CFR 1110, 1170, 1181
- Audits: OMB Circular A-133
- Work Authorization Program: Sections 285.525-285.550, RSMo



For more details you can refer to the following parts of the U.S. Code and Statutes for the Museum and Library Services Act of 2003, applicable pieces from the Code of Federation Regulations and Missouri statutes. There are links to these statutes and regulations in the online grant manual – link to follow later in the session.



The start date for the grant is September 1, 2014

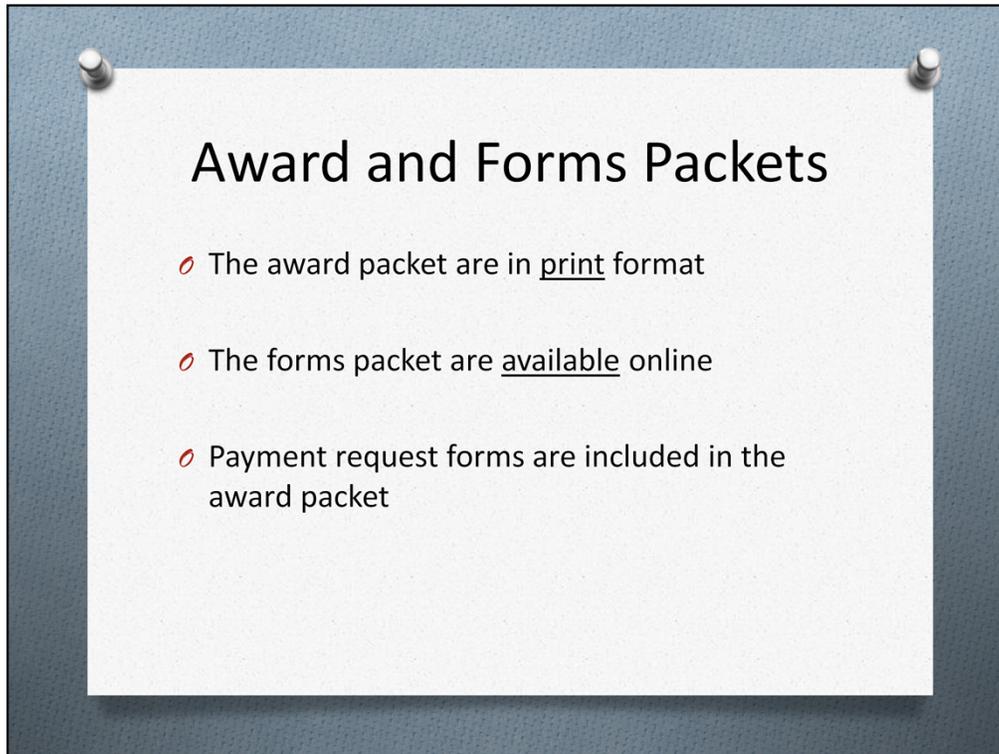
DO NOT PLACE ANY ORDERS OR PURCHASE ANY MATERIALS UNTIL THE GRANT PERIOD START DATE.

IF YOU DO PLACE ORDERS OR PURCHASE MATERIALS PRIOR TO THE START OF THE GRANT PERIOD, THEY BECOME A LOCAL EXPENSE; LSTA FUNDS CANNOT BE USED FOR THEM.

The end date is March 31, 2015. All services should be rendered and all items received and operational by this date.

The final report is due April 30, 2015. By this date, all funds should be spent.

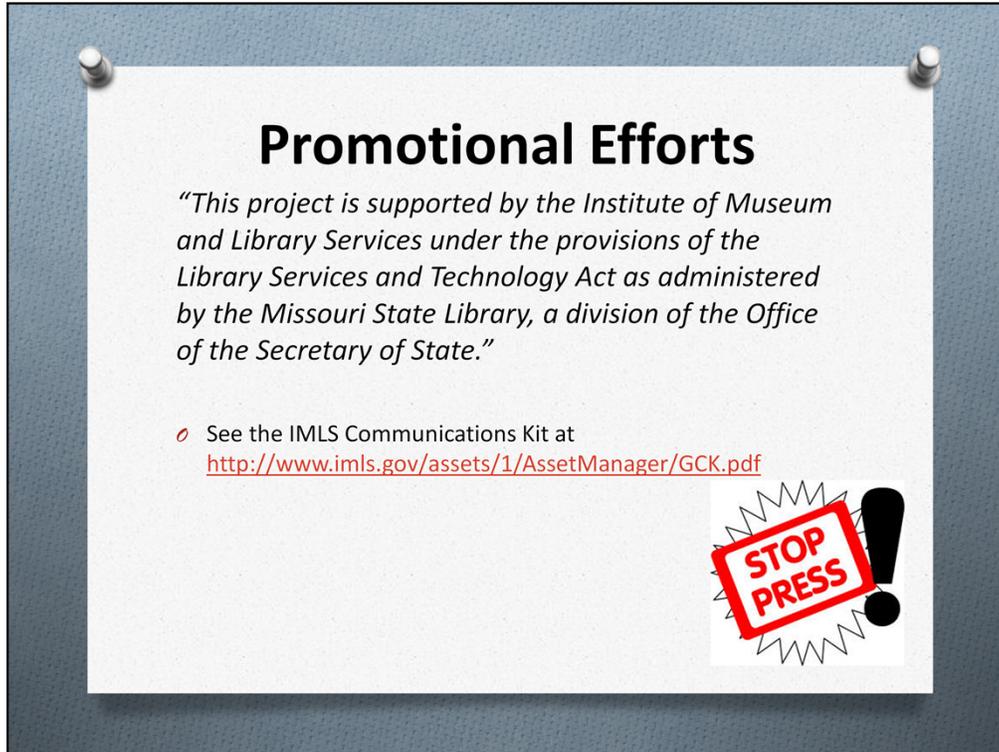
It is fine to submit the final report early as long as you have adequate data with which to assess project impact.



The print award packets were sent August 6th. If you have not yet received your packet, please let me know. This packet contains basic information about the grant and payment request forms customized for your library.

The forms packet is available on our website at [www.sos.mo.gov/library/development/grants.asp](http://www.sos.mo.gov/library/development/grants.asp). Under the heading LSA Grant Report Forms, titled Technology Mini Grant Final Report – Due April 30, 2015.

When it is time to submit the Final Report, don't forget to also submit the request for final payment form from the award packet.



In your grant agreement, there is language to use in promotional efforts. The full text is

*“This project is supported by the Institute of Museum and Library Services under the provisions of the Library Services and Technology Act as administered by the Missouri State Library, a division of the Office of the Secretary of State.”*

Promotional items such as newspaper articles, flyers, brochures, etc. must acknowledge the grant funding. It is permissible to shorten the statement somewhat due to space constraints. The Institute of Museum and Library Services in their Communications Kit indicates priority should be given to using the phrase “Institute of Museum and Library Services” over “Library Services and Technology Act”.

The IMLS Communications Kit has recently been revised and covers:

- IMLS acknowledgement requirements
- The grant announcement process and how to benefit
- Tips for sharing your news with the public
- And IMLS logos, including their appropriate use.

**Report Requirements**



# Report Requirements

## o Payment Request Forms

- First payment
  - Enter full first payment amount
  - Must need to start using funds within 45 days
  - **CANNOT be dated prior to the start of the grant period**
  
- Final Payment
  - Enter exact final payment amount
  - Submit with final report



First payment cannot be requested until all of the following conditions are met:

- The grant period has started
- You have actually ordered items or contracted services
- You need to make payments with those funds within 45 days

When you receive grant payments, they should be placed in an interest bearing account. Any interest accrued should be documented and used on the grant project.

For the final payment, if you did not spend all of the funds you were awarded for allowable costs, please adjust the final payment total by subtracting the amount not spent (the “unexpended balance” on your financial report) from the final payment total. Be sure your request for final payment is based on to-the-penny costs. **Do NOT round.**

In the event you did not spend all funds from the first payment, remaining dollars will need to be returned to the State Library. If you find yourself in this situation, contact the State Library for instructions on how to proceed.

# Report Requirements

## Financial Report

- List only LSTA funds in the columns
- Use exact costs – do NOT round

Budget Category	LSTA Amount Approved	LSTA Amount Spent	LSTA Unexpended Balance <i>(To be subtracted from final payment amount)</i>
Contractual Services	\$525.00	\$526.83	<b>-\$1.83</b>
Equipment and Operating Software	\$9,876.00	\$9,874.17	<b>\$1.83</b>
Furniture <i>(Accessible Workstations Only)</i>	0.00		<b>\$0</b>
Personnel	\$56.00	\$56.00	<b>\$0</b>
Public Relations	\$100.00	\$100.00	<b>\$0</b>
Supplies	\$100.00	\$95.27	<b>\$4.73</b>
Travel			<b>\$0</b>
Other <i>(Please specify)</i>			<b>\$0</b>
<b>TOTAL</b>	<b>\$10,657.00</b>	<b>\$10,652.27</b>	<b>\$4.73</b>

On the Financial Report:

Report only LSTA funds spent in the chart. Please use EXACT figures. Do NOT round.

Under the LSTA Amount Approved column enter the amounts awarded in each category as listed on the Budget Memo in the award packet.

At the bottom of the page describe any major changes to the budget or other relevant funding issues

# Report Requirements

## □ Payment Summary

- List invoices separately
- Include both local and LSTA expenditures
- Arrange by budget category
- Include documentation showing computer specifications
- Retain all original invoices for your grant files



Payment Summary –

This form is where you track the use of both LSTA and local funds.

It is meant to be a “to-the-penny” account.

Arrange by budget category.

If you were awarded funding for desktop computers or laptops, attach documentation to the Payment Summary that shows the specifications of the desktop computers or laptops purchased. We will use this to determine if minimum specifications set by the State Library have been met.

Retain the original invoices for your grant files.

As a best practice, payments for an item or service should be paid directly to the vendor and **NOT** the project director or some other library staff person.

# Report Requirements

## o Payment Summary – Reporting personnel costs

1. Personnel in Category
2. Services performed and number of hours worked in Description
3. Library position in Invoice
4. Dates of service span in Date
5. Name of staff as Vendor
6. LSTA portion of total in LSTA Funds
7. Local match portion of total in Local Funds
8. Wages paid in Total

Budget Category	Description of Item or Service	Invoice Number	Invoice Date	Vendor	LSTA Funds	Local Funds	Total
Personnel	Computer install – 15 hours	Part-time IT staff	October 2014	Jane Smith	\$352.27	\$0	\$352.27

If your award included Personnel keep timesheets tracking personnel hours. Libraries using funds to pay for additional staff hours need to maintain in the grant folder documentation that shows the time paid to employee was spent solely on grant project tasks and not part of their regular hours. A copy of the timesheets should be kept in your grant folder. They should be signed and dated by the staff person to confirm the hours worked.

## Report Requirements

### o Travel Costs not part of Contractual Services

- Keep track of date, location, purpose, miles and miscellaneous expenses for each trip
- Totals should be transferred to the Payment Summary based on how they were paid (weekly, monthly, quarterly, etc.)
- Costs attributed to LSTA cannot exceed the State of Missouri travel guidelines —this rate may fluctuate within the grant period



Keep a log for mileage reimbursement payments. The log should include the date, location, purpose, number of miles traveled and miscellaneous costs for each trip

Totals should be transferred to the Payment Summary based on how they were paid (weekly, monthly, quarterly, etc.) **Include the number of miles and a description of any miscellaneous items in the Description of item or service column**

Costs attributed to LSTA cannot exceed the Office of the Secretary of State's travel guidelines—this rate may fluctuate within the grant period. It is currently .37 per mile. If your library reimburses mileage at a higher or lower rate do the following:

- For Lower, you can claim the full amount as an LSTA expense
- For Higher, you can claim up to .37 per mile for LSTA and the remainder should be funded and recorded as a local expense.

Travel fees for contracted technical support, if charged, comes under Contractual Services and should be included as part of the person's total fee.

# Report Requirements

## Travel Form

LSTA GRANT MONTHLY TRAVEL EXPENSE REPORT

FORM MONTH OF: \_\_\_\_\_

NAME OF TRAVELER: \_\_\_\_\_

MILEAGE RATE IN EFFECT: \_\_\_\_\_ (cents per mile)

Include date, location and purpose, and travel costs funded through the LSTA grant.

Date	Location and Purpose	Miles	Mileage Reimbursement	Breakfast	Lunch	Dinner	Lodging	Bus, Taxi, R.R., Air	Misc. *

Let me know if you would like this form in a Word document.



**PROCUREMENT CERTIFICATION:** details the bid process. State guidelines require the completion of a procurement certification when the cost of an item or set of the same item is over \$3,000 in the aggregate. **However, if your agency has a more stringent bid threshold than that, you must complete the procurement certification for items that meet YOUR level.**

**Aggregate:** The sum of the purchases of a single item or set of items. (For example if you are purchasing 3 computers at \$1,001 each, the bid process comes into place and the need for the procurement certification comes into play.)

**For purchases of equipment over \$3,000 in aggregate**—Report the price quote you obtained through:

1. Informal Method - Requests for proposals from an “adequate number of qualified sources,” which may be three or more sources. Informal methods of requesting competitive bids are: fax bids; telephone bids; catalog comparison; Internet web pages, or e-mail bids.

**OR**

2. Formal Method - Public advertising for sealed bids and a fixed-price contract awarded to “The responsible bidder whose bid, conforming with all the material terms and conditions of the invitation for bids, is the lowest in price.”

**OR**

3. If equipment or services are purchased through the State Contract, you are not required to obtain additional bids from other sources. Information regarding the Cooperative Procurement Program is available at [www.oa.mo.gov/purch/coop.html](http://www.oa.mo.gov/purch/coop.html). Indicate in **Section Number Two** on the Procurement Certification form that the item or items were purchased through the State Contract.

If only one proposal is acquired in a non-competitive proposal, the library must show that there is only one source, or competitive or sealed bids failed to produce a list of interested vendors. Keep all printouts and/or photocopies of quotations on file at your library; send us only the Procurement Certification form.

## Report Requirements

**Narrative Report**

- Fill-in-the-Blanks
- Activities
- Project changes and additions
- Outputs
- Outcomes
- Best practices
- Project promotion
- Other

*Questions & Answers*

**Fill-in-the-Blanks: Note: number of people affected by the project is ONLY to be the actual number of people who used the technology during the grant period. Currently the single audit requirement threshold is \$750,000 expended in federal funds.**

**ACTIVITIES:** List the major activities carried out during the project. How did the activities contribute to meeting the needs of the target audience?

**PROJECT CHANGES and ADDITIONS:** Describe any variations from the original grant application that took place throughout the project. For example: What problems, if any, were encountered in implementing the project plan, and how were they resolved? Were there any issues with the timeline? Document how the State Library was informed of and approved any major changes.

**OUTPUTS:** Using the evaluation tools indicated in the original grant application, what output measures can be identified that show evidence of service delivery? (The things you can count.) How do these measures compare to the baseline data gathered prior to the project?

**OUTCOMES:** Using the mechanisms indicated in the original grant application, what outcomes can be identified in the people served by this project? This includes changes in behavior, skills, attitudes, conditions, status, etc. Identify the overall impact the project has had on the library, the individuals served and the community. Provide a summary of any survey responses received. Please share a story that illustrates project impact.

**BEST PRACTICES:** What lessons were learned regarding working with the people impacted by the project? How will that experience contribute to the library's best practices?

**PROJECT PROMOTION:** In general, how was the project promoted within the library and community and how effective were each of the efforts? Attach copies of support materials: publicity, announcements, instructor materials/handouts, evaluation instruments and results. Indicate how project promotion included acknowledgement of IMLS-LSTA funding.

**OTHER:** Other comments as appropriate.

**Prior Approvals and  
Amendments**



## Prior Approvals

- o If you did not have complete estimated costs for project expenses, be sure you have these items reviewed and approved before committing LSTA funds to pay for the item(s).



If you did not have complete estimated costs for project expenses, be sure you have these items reviewed and approved before committing LSTA funds to pay for the item(s). For example, if you didn't know for sure which computer model would be purchased, send us the description so we can make sure minimum specifications will be met before you place the order.

If you change make or model of a computer or laptop to be purchased through the grant, make sure the new model meets or exceeds minimum specifications set by the State Library. If you have any questions regarding this, contact Carl Wingo. He will review them with you. We do not want to deny your funding after you have already purchased and installed the equipment for failure to meet this requirement.

## Request for Amendment

◦ **A formal amendment is needed for:**

- Budget changes
  - Moving over \$500 between existing budget categories
  - Moving any funds into a budget category a not in the grant award
  - Needing to use LSTA funds for items not specifically listed in your grant application
  - Needing additional funds

A formal amendment is **REQUIRED** for:

- Budget changes
  - Moving over \$500 between existing budget categories
  - Moving any funds into a budget category not in the grant award
  - Needing to use LSTA funds for items not listed in your grant application
  - Requesting additional funds – **MUST** require **AT LEAST** \$500 in LSTA funds before the request will be granted. Don't forget to apply any local match requirement for the new item(s). If you are unsure of the match requirement, give us a call or send us an email.

Financial issues are not the only reason an amendment may be needed...

## Request for Amendment

- ❑ Extension of the grant period
- ❑ A formal amendment may also be needed for:
  - Programmatic changes
- ❑ No amendment needed, but do let us know about:
  - Changes in key personnel
  - Changes in subcontractor



An amendment is **REQUIRED** to extend the grant period.

A formal amendment is needed for significant changes in the project's scope or objectives.

An informal amendment is okay for minor changes in scope or objectives, such as a change in what computer model will be purchased through the grant. This can be handled through an email correspondence.

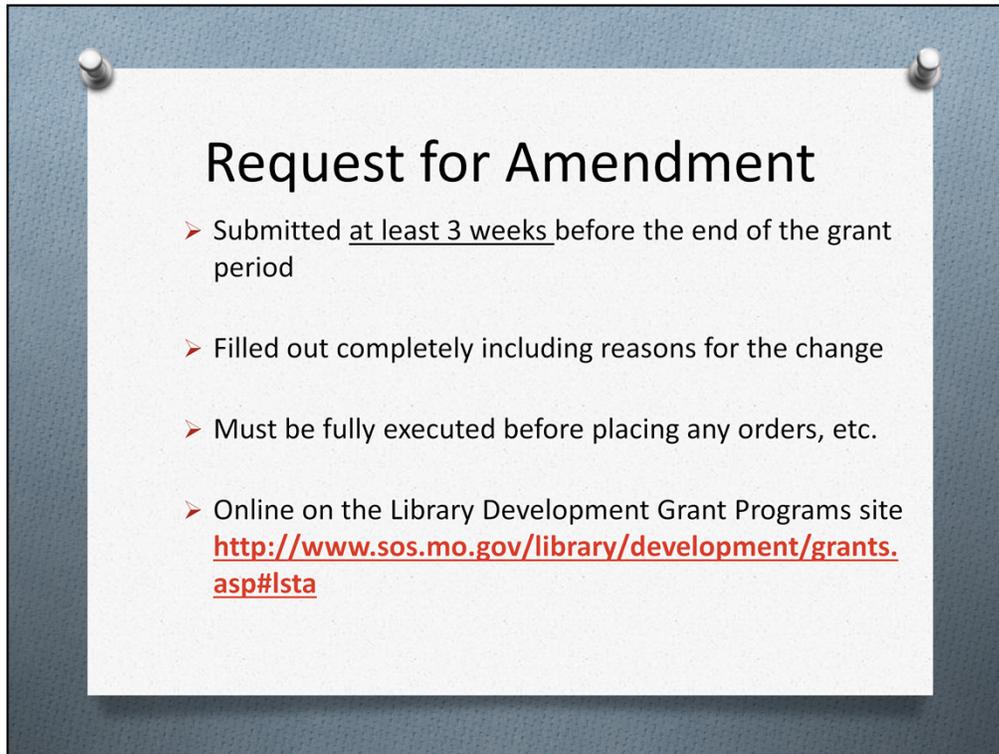
No amendment is needed, but let us know about changes in key personnel or subcontractor.

# Request for Amendment

## Remember

- Changes must be approved before committing LSTA funds
- Do not assume you will receive reimbursement of local funds if you pay for something before the amendment is fully in place





**Amendment requests must be**

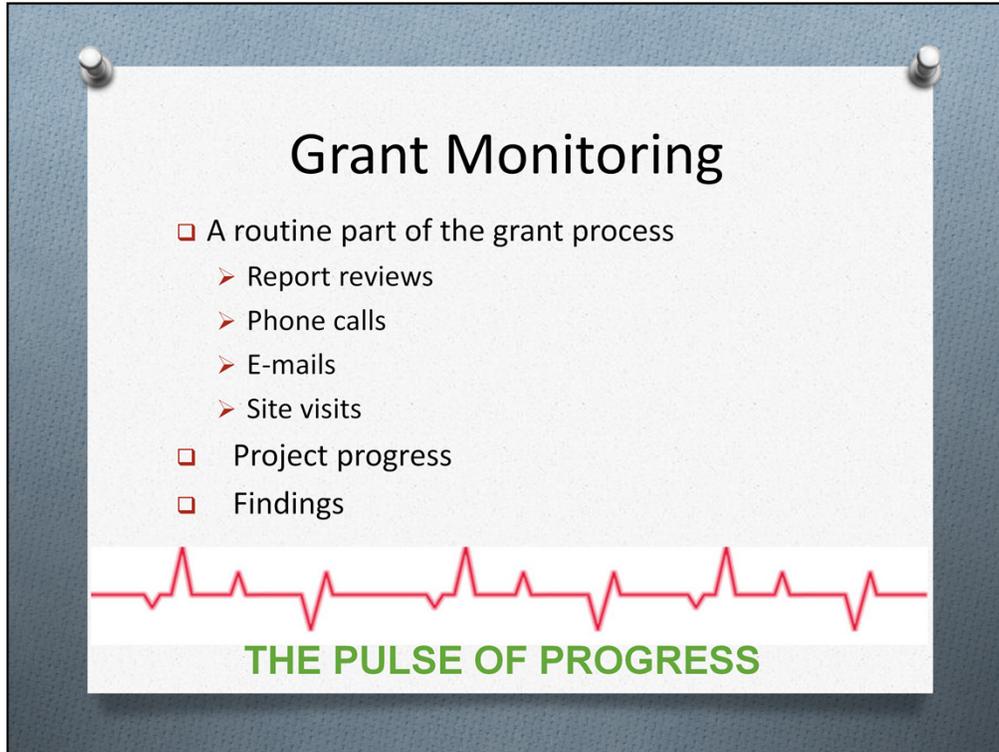
- Submitted at least 3 weeks before the end of the grant period
- Filled out completely including reasons for the change
- Must be fully executed (all signatures in place) before placing any orders, etc. or your library may be at risk of having to pay for any additional costs incurred.

The form is available online on the Library Development Grant Programs site <http://www.sos.mo.gov/library/development/grants.asp#lsta>

**Word of Warning:** Because there is no interim report required for these grants, the State Library will not be able to monitor the need for an amendment, so monitor your project very closely.

**Grant Monitoring**





Generally, 15% of grants awarded receive an onsite visit. We awarded 19 Technology Mini Grants, so will likely conduct 3 onsite visits. We choose the libraries based on experience of the library in managing grants, uniqueness or complexity of the program, interest in observing operation of the equipment first-hand, irregularities in correspondences, library request, and sometimes location or timing. If you are new to the grant process, the visit may occur early in the grant period so we can go over the library's grant management responsibilities. NOTE: It is important to have organized files as we consider this a good indication of your grant management style and effectiveness.

**Contents of grant file:**

You should have one file that contains all of the paperwork associated with your grant. This includes:

1. Original application
2. Grant Agreement Standard Terms and Conditions
3. Signed copy of the Grant Agreement and Grant Acceptance forms
4. Signed copies of the Certifications and Assurances
5. Payment requests
6. Final reports
7. Outstanding report and payment forms
8. Invoices
9. Market analysis documentation
10. Bid process documentation
11. Promotional materials
12. Evaluation measures: statistics, surveys, etc.
13. Documentation of contacts with the State Library staff

**Findings:** If there are any irregularities found during grant monitoring you will be notified and we will work together to bring the project back into compliance with LSTA rules and regulation.

Best Practices

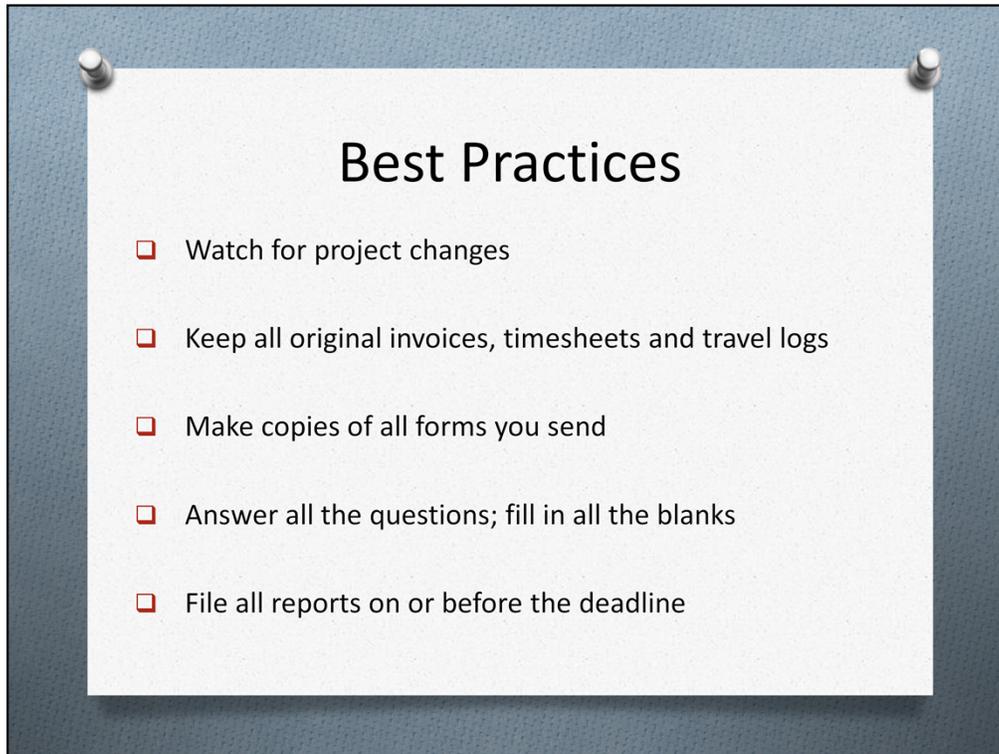


## Best Practices

- ❑ Create a file folder for all paperwork related to the grant
- ❑ Keep track of your budget on an ongoing basis
- ❑ Know what you need to count and why
- ❑ Monitor changes in your technology users
- ❑ Periodically review your application



- ❑ Create a file folder for all paperwork related to the grant
- ❑ Monitor your budget on an ongoing basis
- ❑ Know what you need to count and why
  - Baseline – stats from prior years
  - Equipment trouble log
  - Final statistics
  - Be able to compare the stats and interpret how changes (or lack thereof) speak to project impact
- ❑ Monitor changes in your participants regarding skills, attitude, etc.  
 If you plan to use a survey it **MUST** be reviewed and approved by the State Library before it is implemented. If you would like to receive help in developing your survey or to receive sample surveys, please contact us.
- ❑ Periodically review your application to be sure you accomplish everything listed and in the timeframe desired.



- Watch for project changes, especially if they will require a formal amendment
- Keep all original invoices, timesheets and travel records in case you are audited. Legally, you must retain all records of this grant for not less than five years from the termination date of the grant period.
- Make copies of all forms you send to the State Library – just in case they get lost in transit
- Answer all the questions; fill in all the blanks
- File all reports on or before the deadline

Yes, you may submit the final report early if project is complete and all evaluation measures have been gathered and analyzed.

Remember to include your documentation for computers and laptops that show minimum specifications set by the State Library were met or exceeded. This is THE MOST FREQUENT reason a report is deemed incomplete by the State Library.

## Best Practices



### Grant Writing and Management Manual

[http://www.sos.mo.gov/library/development/grants/  
GrantsManual.pdf](http://www.sos.mo.gov/library/development/grants/GrantsManual.pdf)

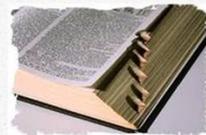
The Grant Writing and Management Manual was recently updated and is available online at the address listed on the screen.

**Grant Terminology**



## Common Grant Terminology

1. Advance – requesting funds from the State Library before you have actually spent those dollars
2. Reimbursement – requesting payment from LSTA grant, for a service or item for which you have already paid
3. Encumbrance – an obligation has been made, but not yet paid
4. Balance – available funds



An Advance is when you request funds from the State Library before you have actually spent those dollars.

The First Payment is an ADVANCE payment for project startup costs, BUT be sure you have committed these funds and anticipate the need to start using them (paying them out) within 45 days.

A Reimbursement payment is when you request funds for a service or item for which you have already paid.

The FINAL Payment you receive from the State Library is always a reimbursement payment.

An encumbrance or obligation means you have signed an agreement to make a purchase—placed orders; contracts--services that require payment in the future

Balance – available, unobligated funds.

## Common Grant Terminology

5. Bid – a price offer; formal or informal process
6. Procurement – obtaining an item
7. Certification – assurance that what is stated is true



A Bid is a price offer and can be made through a formal or an informal process. The bid process is similar to the market/cost analysis you performed for your application but it now results in an actual purchase. In fact, you may have gathered your required bid information simultaneously with your application's market analysis. Follow your library's definition of a large purchase to determine if you need to obtain formal or informal bids.

A **bid process** is choosing the best buy from at least three vendors. **Documentation** is information from different vendors through newspaper ads, quotes received by fax, website quote pages, or estimates received over the phone written on a sheet of paper. The **documentation of this process**, writing down the information you gathered and stating how you made the decision to buy the equipment OR service from the vendor, is to be part of the grant project file. If you do have an item, set of the same item or a service that exceeds \$3,000 you generally need to complete a Procurement Certification form to document your purchase decision process.

Certification is confirming the accuracy of the report. Certifying Authority: At your library, who can sign official paperwork to acknowledge that the reports that are submitted are accurate? We typically see the library director's signature when a certifying authority's signature is required. But, your library's bylaws may allow someone else to sign.

## Common Grant Terminology

8. Results based management – changing the project based on results
9. Output – evidence of service delivery
10. Outcome – changes in attitude, behaviors, knowledge, skills, status, life condition

*Shaping Outcomes* at [www.shapingoutcomes.org](http://www.shapingoutcomes.org)



Results based management: Current terminology used by IMLS. It recognizes that a project is always a work in progress and that major or minor adjustments might be needed as the project unfolds to have a greater impact on the community.

**DETERMINING THE IMPACT YOUR GRANT PROJECT HAS HAD ON YOUR CUSTOMERS IS VITAL. USE A SOLID OUTCOME BASED EVALUATION TOOL SO YOU HAVE SOUND DATA ON WHICH TO BASE YOUR ANALYSIS.**

Outcome based evaluation: Outcome-based evaluation is a systematic way to assess the extent to which a program has achieved its intended results. It is an attempt to determine how the program or project has made a difference to the individuals and community the library serves. Outcome evaluation can examine these changes in the short-term, intermediate term and long-term. Generally, you will want to have quantitative and qualitative data to aid in your evaluation.

Outputs: These are the statistics. The things you can count that will show evidence of service delivery. They are just numbers which require an interpretation to become meaningful. It can be the number of sessions held, amount of time consumed, number of programs accessed, etc.

Outcomes: These are the changes in the attitude, behavior, knowledge, skills, status or life condition of the target audience. Look for the expected and the unexpected results of the project. One fairly common outcome for technology grants is improved customer satisfaction ratings. (Change in attitude)

For both outputs and outcomes, it is important to have baseline data so you know what the starting point is for the project. For example, how often are computers currently used? Are the computers dependable? Do patrons regularly experience wait time to use a computer? Are they satisfied with the number and quality of the computers available? If not, why not and how will the project change the situation?

**Shaping Outcomes**: <http://www.shapingoutcomes.org/>

Shaping Outcomes is an online course on outcomes-based planning and evaluation, which will help participants improve program designs and evaluations. It was developed through a cooperative agreement between IMLS and Indiana University-Purdue University, Indianapolis (IUPUI).

## Evaluation Measures: Beyond the Numbers

- o Observation
- o Interviews
- o Questionnaires or Surveys
- o Focus Groups
- o Case Studies



•Observation – What do you SEE has changed

•Interviews – a good way collection stories that illustrate project impact and hear about unexpected benefits.

oHow you can HEAR about changes

•Questionnaires or Surveys – guided input sought from library staff and/or patrons in evaluating the project

o How you can READ about changes

Staff documentation and observation combined usually produce some very helpful insights.

- If you record computer issues in a log or through observation, did you notice a difference in computer dependability? Less down time? That will show a more reliable network.
- Was wait time reduced or eliminated during traditionally high peak times? That can show the new computers helped to meet patron demand.
- Did you experience fewer patron complaints about the network?
- All of the these can help show improved customer service satisfaction.

Focus Groups or Case Studies – can be especially helpful if you have a specific target audience in mind.

Questions



## Contact Information



**Carl Wingo**

**Technology Consultant**

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**Debbie Musselman**

**Library Development Director**

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Shay Younger is the new LSTA Grants Officer. She will be coming on board on September 3 and can also answer questions regarding grant management.