INTRO TO LSTA GRANT APPLICATIONS

Missouri State Library

Good morning everyone, I'm Terry Blauvelt the LSTA Coordinator for the Missouri State Library. I'm joined by several of the State Library-Library Development staff today, so this is a great opportunity to get your grant questions answered and expand your grant knowledge. This presentation is written more as a stand alone resource than a presentation, so the slides are more wordy and less dependent on my presentation. In a communications course I took, it was mentioned Powerpoint slides should never contain more than seven lines and as you will see, I've failed this precedent on numerous occasions. This webinar is being recorded and the recording and slides will be posted on the Missouri State Library LSTA webpage under LSTA Online Grant Training Handouts and in the Reference Services catalog.

Part of my role with the state library is to work with the libraries to get Library Service and Technology Act grant funds from the State Library to the libraries to enact their projects and ideas. Also within this role I make sure the costs and activities of your grant are eligible for LSTA funding and IMLS is acknowledged properly. While I can't write the application for you, I can answer questions on eligible items, concerns, and unique situations. Your role as a grant applicant is to write a grant that explains the whole story of why your library needs the LSTA grant funds and how they will be used and to implement awarded grants. We are functionally on the same team, just with

different responsibilities.

I assembled the presentation into four general categories. A few of the topics we will cover could go into more than one of these areas, so these categories should not be taken as absolute.

MOSL LSTA Grant Webpage

- MOSL Grant webpage
  - https://www.sos.mo.gov/library/development/lstagrants

- Grant Certifications, Standard Terms, and Conditions is available on the MOSL LSTA webpage, under LSTA Application Certification Forms.

- Online Grant Management System (Foundant): https://www.grantinterface.com/Home/Logon?urlkey=missourilibrary

One of the most important stops on attaining LSTA grant enlightenment is the Missouri State Library LSTA Grant webpage. The first link on the screen takes you to the Missouri State Library LSTA grants webpage. This webpage has links to about everything we use for LSTA grants and all of the forms with links in the Online Grant Management System link to this page. So if you need a budget spreadsheet or are curious about survey's, it's all here.

Within the LSTA Application Certification Forms section of the MOSL LSTA webpage are six linked documents that are included in the Grant Acceptance form by reference. When you agree to the terms and conditions of an offered grant award by electronically signing your name on the grant application, you are contractually bound to these standards. Due to this legal obligation, it's in your and your library's best interest to read and understand these prior to signing your life away. While this sounds drastic, these are legal documents required by the federal government. In addition to being required, they contain great information, like when payments can be issued, how to acknowledge IMLS, laws forbidding discrimination, thresholds for amendments, etc. While these are pretty standard, do read and understand these.

The Missouri State Library uses a Online Grant Management System created by

Foundant. This system acts as a portal for grant applicants and as a database for the state library staff. This system will keep all of your current and completed applications and reports. If you ever need to see what you have done in past grants and you applied with the online system, the data will be in the system. We do not have any grants from the paper application and reports in the system and have no way of putting these into the system.

MOSL began transitioning away from paper based grants in January of 2020 and by mid-2021 solely used online grant applications and reports. It is highly probable we will continue to use an online platform for grants going forward.

Near the top of the LSTA webpage, in a paragraph under the Library Services and Technology Act heading is a link to the LSTA Grant Call Schedule. This is the master schedule of grants for the current fiscal year offered by the state library, and includes the due dates of the applications, the grant period, and report due dates. As a general rule, all grant applications listed on this document open 45 days prior to the due date. Open call grants, do not have set timeframes, but do need to be submitted a minimum of three months prior to the event.

Applicants are required to have access credentials in order to be able to see grant applications, reports, files, etc. We do restrict access credentials to one person per library. Due to this restriction, it is appropriate to share these credentials with pertinent library staff. If you need credentials for your library, please contact Kayla Collins.

How do I apply?

- Click on "Apply" at the top of the Applicant Dashboard
- All open and public grant opportunities will be listed. Find the one you want and click on the blue "Apply" button on the right side of each grant name to begin the application.
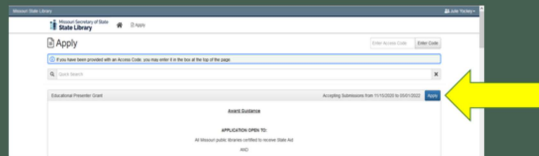
Once you have login credentials, you can log into the online grant system. If you have previously applied for a grant or have an active grant it will open to the dashboard showing your grants. If you don't have any grants, it will take you directly to the list of available grants. If the system opens to your dashboard, then you will need to click on the "Apply" button at the very top (noted by the orange arrow) and this will take you to the list of available grants. At this point it's very important to point out that it is completely possible to fill out multiple applications for the same grant. If you previously started a grant application and didn't submit it, be sure to open this application from the dashboard, rather than clicking on the Apply button (orange arrow) again.

As a general rule, grant applications are posted 45 days before they are due.

Assuming you are beginning an application, and you have clicked on the white "Apply" button, you can then scroll through the list of available grants. I'm going to go over the Award Guidance that is listed with each grant on the next slide, but will also point out that in order to begin an application, you will click on the blue "Apply" button next to the grant you wish to apply. But don't click the blue apply button just yet…

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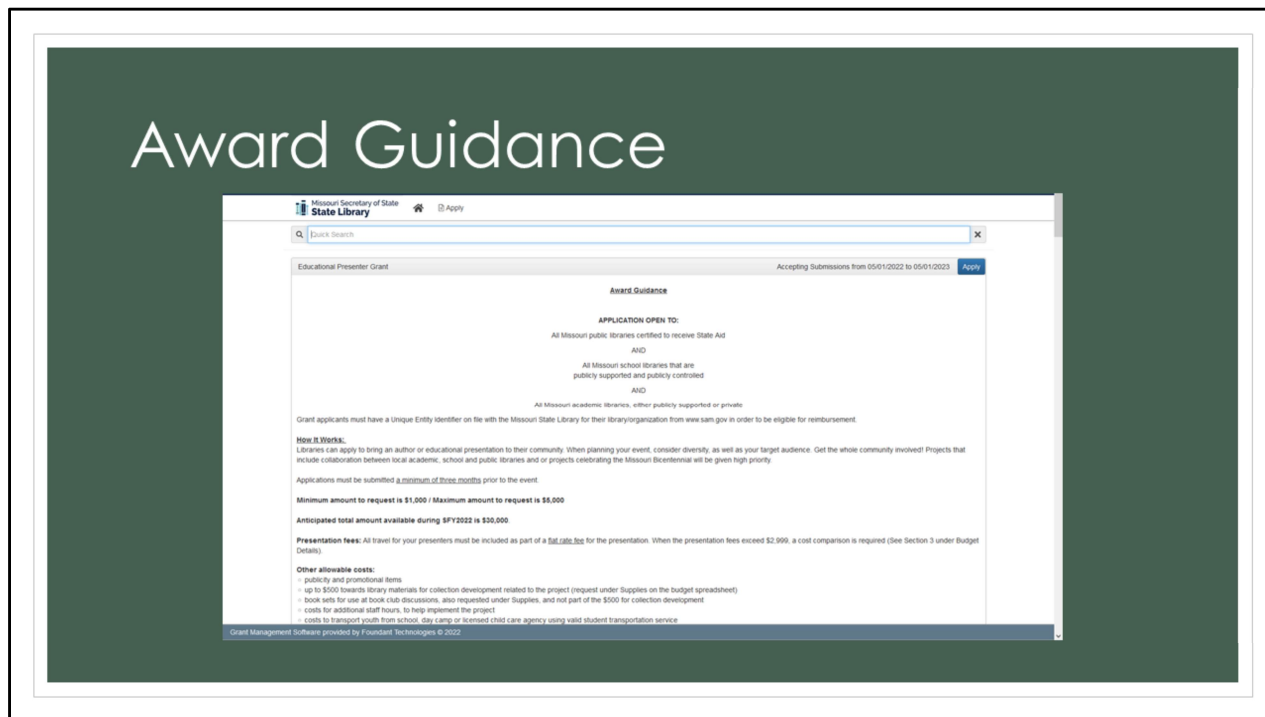
Award Guidance

When we review a grant application, we look for compliance with the grant award guidance, so knowing the information in this section is very important. Before you click on the blue "Apply" button it is a good idea to copy and past this information into a Word document and save or print it for reference during the application process. Due to the design of the grant system, the Award Guidance isn't easily accessible once you start the grant without leaving the application and going back through the application cycle. I recommend either printing or copying and pasting the document into a Word doc and printing or saving it. It is my experience that this document is quite helpful to include in your grant folder.

The award guidance contains the requirements for the grant, like the grant period dates, the report dates, required components like surveys, eligible and ineligible costs, and payment timeframes. As the Award Guidance contains these items, it is a really good idea to abide by what it says. Your grant calendar should follow the dates established in this document. You should not request items on the Common Unallowable costs list. If the grant requires a local match, this should be applied to qualifying items. Not following the award guidance can negatively influence the amount of the award and increase the likelihood of denial.

Grant Review

- Grants are reviewed by at least three MOSL staff members (Library Consultant, Grants Officer, and State Librarian).
- Things that lower the award amount and increase likelihood of denial:
  - Missing component-the Work Authorization when required or the Budget Spreadsheet
  - Missing content
  - Reliance on information not present in the application
  - Mismatched finances

I wasn't sure where to work in the discussion of how grant reviews occur, so I decided to put it here to foreshadow the importance of the component parts of grants. All grant applications are reviewed by at least three persons and sometimes four. The Library Consultant, Grants Officer, and State Librarian come to an agreement on the award and then present a summary of the grant and award recommendation to the Secretary of State Administration, who then approves the grant. With this being said, there are a few things that will either stop the review from proceeding, delay the review, and/or will get your grant application automatically denied.

1. Not including the eVerify Work Authorization, when it is required is an automatic denial. We'll go over these requirements on the next slide. Not including the budget spreadsheet isn't an automatic denial, but since finances are the center of every grant, it does stop the review before the spreadsheet is submitted.
2. The Missing content and reliance on outside information could be the same thing, but when I say missing content, I'm looking at explanations of uses of items needed for programs, explanation of grant purchases and things of that nature. Whereas, the reliance on information not present would be requesting funds for computers that are two years old without explaining that the library flooded and destroyed the relatively new computers.
3. The first thing I look at in any grant application or report is the budget spreadsheet.

If the numbers you record in the grant system don't match the spreadsheet, your application does get dinged and will either result in a lower award or denial of the application. I recommend working the finances out on the spreadsheet and then copying and pasting the final figures into the grant system wherever possible.

Work Authorization (e-Verify)

- Two parts:
  - Federal Registration
  - State annual renewal

- RSMO 385.530 (2) As a condition for the award of any contract or grant **in excess of five thousand dollars** by the state or by any political subdivision of the state to a business entity, or for any business entity receiving a state-administered or subsidized tax credit, tax abatement, or loan from the state, the business entity shall, by sworn affidavit and provision of documentation, affirm its enrollment and participation in a federal work authorization program with respect to the employees working in connection with the contracted services. Every such business entity shall also sign an affidavit affirming that it does not knowingly employ any person who is an unauthorized alien in connection with the contracted services. Any entity contracting with the state or any political subdivision of the state shall only be required to provide the affidavits required in this subsection to the state and any political subdivision of the state with which it contracts, on an annual basis.

Now that we have addressed where to find grant applications and how to access them. We'll shift a bit to cover a few important components.

If your library requests $5,000 or more in grant funds for an individual grant your library will have to be registered with the Federal E-Verify system and have an active registration with the Missouri Office of Administration Division of Purchasing. While both of these agencies are completely separate from the Missouri State Library, we are required by both federal and state law to verify compliance with these statutes in order to make an award over $5,000. The grant system has an upload file option to upload the newest renewal document submitted to the Office of Administration, and this is the standard document we use to verify compliance. Ideally, the library should appear on the OA Work Authorization list, but this list isn't always up to date, so don't rely on it being listed there. If your grant requires proof of Work Authorization and it isn't present, this is grounds for automatic denial of the grant. It's best to keep an electronic copy of the renewal document and upload it when it is needed.

Unique Entity Identifier

- Register at www.SAM.gov
- Must be for your library with your library's name
- Must be discoverable (don't mark as private)
- Must have an active status

Another cumbersome federal program that MOSL is a de facto enforcer is the UEI. In order to be eligible for LSTA grant payments, your library must obtain and maintain a Unique Entity Identifier from SAM.gov. The UEI is a 12 digit alphanumeric character sequence that replaces the Dun and Bradstreet DUNS number. The library's name must be the registered entity, unless your library is one of the 10 City-Budget libraries with no library tax levy. The state library cannot issue any federal funds, like LSTA grant funds, to an entity without a UEI. Since the state library has to check the registration and status of the UEI before, make sure your UEI is able to appear in public searches. If your UEI is already listed as private, then you will need to submit a ticket from the SAM.gov dashboard to have this changed. Not having a UEI won't stop you from applying for a grant, but could stop or delay you from receiving funds that have been awarded. It's also important to note that the state library cannot hold funds indefinitely and if a library does not attain a UEI within the federal period of performance, they would forfeit funds.

Period of Performance

- Federal Allotment Period
- Up to two federal fiscal years
- Everything must be finished by the end of the federal allotment period
  - Subscriptions or services cannot go beyond the end of the federal allotment period
  - Cannot pre-pay for services or subscriptions to last beyond the federal allotment period

- Grant Period
  - Will always be within a single federal allotment period
  - If approved by MOSL, subscriptions or services can extend beyond the grant period up to the end of the federal allotment period-must be prepaid by the end of the grant period
  - Cannot be extended beyond the federal allotment period
  - Open-Call grants may have a shortened grant period availability, due to the federal allotment period

The Period of Performance refers to the time period between when the federal allotment is awarded to the state library and the last day of the federal fiscal year which generally comes 24 months after the notice of award. When US Congress acts in a timely manner, the award through the Grants to States program period of performance is around two years. Since Congress kept passing Continuing Resolutions this year, there were only 18 months for the current period. As the federal fiscal years go from October 1, of a given year to September 30 of the following year, the state library establishes grant periods to fall within these dates. As we need to have the grant completed before September 30th the latest we will generally go for a grant period end date is August 31st.

With the aforementioned period of performance restrictions, we cannot use LSTA funds to pay or reimburse for expenses incurred outside the federal allotment period or the grant period. For these reasons it is important to know the dates listed in the grant and make sure you follow the timeline of these dates. If you run behind on ordering subscription or service items, be aware the state library may not be able to reimburse your library for expenses or services that go beyond these dates. It is possible to request subscription items to go beyond the grant period to the end of the federal fiscal year in the application. If this is approved in the application, the subscription amount would need to be prepaid and only the amount between the end of the grant period

and the end of the federal allotment period would be eligible. Subscriptions that go beyond the end of the federal allotment period would be a local library expense.

If you apply for an open- call grant, like the Library Automation Grant, be aware the eligible subscriptions in this grant may be shortened to less than a year to fit into the federal allotment period.

Single Audit

- Was your institution subject to a Single Audit during the project grant period (i.e. received $750,000 or more in federal funds)?
  - Very rarely will the answer be "yes"
    - Must receive $750,000 in federal funds or more, can be from multiple grants or federal sources
    - Must receive the $750k during the grant period

I put the single audit question in, just in case there are questions on it. It's very rare the answer to this question is Yes. However, some of the county issued ARPA funds were passed on to libraries, so there are a couple of libraries that were eligible for a federal audit. There are two things that have to occur to be subject to a federal audit, one the library district must receive more than $750,000 in the aggregate of federal funding and two the funds must be received within the grant period.

If you happen to be audited, please let us know. We check the audit clearinghouse, but giving us a heads up would be appreciated. The only time we would be concerned about an audit is if "findings" are issued. Depending on what the findings state, the library may be required to fix the issues before being eligible for additional grants or grant payments, but I've not actually seen this occur in any Missouri Libraries.

Grant Content

- All grants should be written in the third person
- Information must be presented in a manner that someone not familiar with your library would be able to understand what is occurring with a specific grant.

- Target Audience
  - Connect data and needs to these groups
  - Select up to **_THREE_** groups

Grants can only be judged by the information they contain. The grant application content must include enough detail and information that someone not familiar with the library or the programs or purchases made through the grant can read through and understand the library and the projected outcomes through the grant. We often refer to this as "Telling the whole story." I mentioned earlier that at least one person not in the State Library reviews the grant award recommendations. We often refer to this as "Telling the whole story."

When your write your grant, it should be in the third person. To get in this mindset, you can pretend you are a newspaper reporter and you are telling the story that is happening to the library. When writing from this perspective, avoid using personal or possessive terms like "we, our, my, etc.."

The focus of the outcomes of the grants are the target audience. The grant application allows for three audiences to be selected. We limit grants to three audiences to focus the projects and programs. Having too many audiences make it difficult to influence any outcome, let alone specific outcomes desired. The groups of persons selected as the target audience should be the recipients or users of the service, technology, etc. provided by the grant. The outputs and or outcomes of the grant should be linked to

the groups selected here. It's relatively common for grants to use US Census demographic information to identify a need, but not actually focus the grant on fulfilling the identified need. While it can be difficult to determine the actual influence of a grant on a given outcome/output with a myriad of contributing and mitigating variables, library's should strive to contribute to the influence of change to the target audience. So make sure that when you list a target audience to connect the good or service being purchased or provided through the grant to that audience.

What is this question asking?

- Project Abstract
  - This is a short overview of the project. Do not include demographics. Language should be in the third person. This is a "just the facts" type statement.
  - Example: *The Library will offer English language programs to low-literate populations in their district, with particular emphasis on patrons in the historic Northeast neighborhood.*

- Needs Addressed
  - Should be directly connected to the selected target audience, include demographics
  - Should identify the issue your library would like to solve
  - Include official statistics that help identify the issue (US Census, DESE, etc.)

Now we're going to go over some specific sections and questions from grant applications. Some grants will have additional questions not included here, but the items listed in this slide and the next slide will appear on nearly every grant. Once you have listed your contact information, applicable eVerify information, and Target Audience, you will then need to list the Project Abstract. This is a short summary of the whole project you wish to accomplish with grant funding. You could look at this as a sort of first impression of your grant. The project abstract is generally limited to around 250 words and is used in the summary presented to SOS administrative staff. Like the example shows, the Abstract will touch on every aspect of the project, but won't show the details. As we mentioned earlier, this should be written in the third person perspective.

The Needs Addressed section begins the portion of the grant that offers specific details. This section will connect directly to the target audience listed earlier and discuss how the implementation of the grant will aid the groups listed. This is also where supporting evidence would be listed. An example would be using American Community Survey data from US Census to show the number of households without a computer for a grant requesting Chromebooks to circulate to patrons. The needs addressed section doesn't solve the problem, just presents the data for the need.

What is this question asking? (cont.)

- Project Plan
  - In sufficient detail, the project plan should build off of the Needs Addressed section to show how the project will solve the problem for the target audience.
  - Should discuss how the actions, events, programs, and materials will be used to accomplish the goals.
    - If your project will use programs, the content of the programs should be mentioned.
      - Example: *The MU Extension Nutrition Educator will lead programs that teach persons how to plant and grow vegetables.*
- Partners
  - Should briefly mention the persons and partners with a functional role with the project.
  - Partners are persons or groups that either complete a specific portion of the grant or financially subsidize a portion of the grant.
- Promotional Efforts
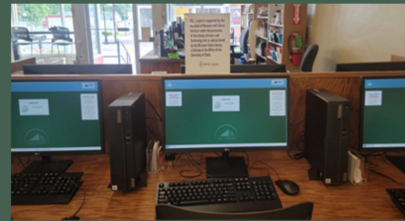 - 1. Acknowledge IMLS
  - 2. Advertise the project

The Project Plan is where the rubber hits the road. It should show how you are going to solve the issue you identified in the Needs addressed section, the major components of the grant, who will be involved with the implementation of the grant, the content of the activities and programs, a general discussion of materials that will be purchased for use in the project, etc. If you look at the example in the middle of the slide it actually shows the content of the programs and the role of a partner. The Project Plan will contain the most project details of all of the questions in the application.

Partners will show the entities or persons with an active part in the project. This section is not asking for entities that have expressed verbal support, but for persons or entities that are going to provide a service or financial contribution to the project. Paid presenters and such would not be listed in this section.

We will touch on the Promotional aspect of grants several times throughout this presentation. Promotion has two components. One is to acknowledge IMLS and two to promote the project. Advertisement must be specific to the grant, but otherwise can be as creative as you wish. As social media advertising is becoming more and more effective and often is significantly cheaper than traditional advertising, the State Library encourages libraries to use these mediums.

At the beginning of this presentation, we mentioned the terms and conditions. Article number seven on the Grant Agreement Standard Terms and Conditions addresses Publication Credit which is more commonly known as the IMLS Acknowledgement. I considered putting this slide into this presentation multiple times to reiterate its importance. The Acknowledgement of IMLS is a required component of every LSTA grant, which is why it is included in the legal paperwork. This is not new and not something to take lightly. Not including IMLS acknowledgement examples in the final report will delay payment requests until the acknowledgement is placed in the promotions, tangible items, etc.

Each tangible item should have a label showing the IMLS Acknowledgment statement and each promotion should include an IMLS Acknowledgement. Things like books, computers, etc. must have the IMLS Acknowledgement on each material. Most libraries use address labels to accomplish this. You can also put a sign near the items, as shown in the picture. Grant funded promotions cannot be general advertising for the library or library services. It must be for grant specific promotion. In most circumstances the statement "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" should be used verbatim. You can change out the word "project" to something

more specific. For example, if you purchase Summer Library Program books, you could insert the word "book" in place of the word project or list the name of the project like "Summer Library Program." I recommend copying and pasting the wording into a Word documents on your desktop and simply cut and paste the statement into everything.

There are a couple of options to use for Social media and those are shown on the slide. If these are used, then the full statement isn't required. It's important to note that #IMLSGrant no longer appears on the IMLS Communications Kit, so this may no longer be tracked. Use the Facebook link in place of the #IMLSGrant. In addition to all the aforementioned there are a few different requirements for IMLS acknowledgement that may apply to your grant. An example of this is the requirement for LSTA funded websites to link to the IMLS.gov website. We will notify you if any special requirements apply.

When you are writing a grant application, the Promotion section should specifically state where the IMLS Acknowledgments will be placed. When writing reports, go back to the application and make sure you have the IMLS Acknowledgement placed everywhere that was stated in the application. Take this seriously.

If you take one thing away from this presentation today, hopefully it's that the IMLS acknowledgement is required for every grant and should be applied liberally to all promotions, flyers, social media posts, tangible items, etc. I added this slide to break down what the IMLS acknowledgement statement is saying. The funds used in our LSTA grants are allocated annually by US Congress through the Library Services and Technology Act. These funds are then allocated through the Grants To States program to states that have applied by submitting a Five Year Plan. The Five year Plan, as the name implies, is submitted by the state every five years. The process to develop this plan requires an external evaluation and audit, vast amounts of input, and approval by multiple state offices, like the Missouri Secretary of State's Office and the Attorney General's Office. From start to finish, this plan takes between 18 months to two years. Once the plan is complete, the state library is required to file quarterly and annual financial reports, the annual State Program Report, which is a summary listing of every grant issued by the state library, and FFATA reports for any grant greater than $30,000. More than ten thousand employee hours each year are worked by IMLS and the Missouri State Library staff to get and manage these funds for Missouri Public Libraries. All this information is crammed into the statement. Since we are required to use the acknowledgment, not using the acknowledgement or omitting a part of the statement will have to be corrected which will cause more work for you and me.

Data (aka Project Evaluation)

- Before the grant
  - Current Data (aka Baseline)

- During the grant
  - Outputs
    - Usage and Circulation statistics
    - Survey's
  - Outcomes
    - Patron comments
    - Observations

- After the grant
  - Compare the data before the grant with the data obtained during the grant

Data collection is one of the methods of tracking your grant. The current or baseline data is the data that is collected on the variables that will be changed by the grant. Generally, this data is collected for several months prior to the start date of the grant and will be compared to the data occurring in the grant period to inform an assessment (called Findings in the final report). Many grants have required survey's.

The Outputs will be the quantitative or numerical data collected, which will include survey results, circulation data, usage, etc. In other words, things that can be counted in one way or another. The Outputs section of an application should discuss any survey that will be implemented, how the survey will be distributed, and how participants in the survey will be selected. When reporting figures, list the actual numbers and/or the numbers and percent's, but not the percentages by themselves.

Outcomes will be the qualitative data collected. This will be comprised of comments, patron interviews, observations, and perceptions. Outcomes are not numerical. Like the Outputs section, the Outcomes section should also identify how the data will be collected.

When the grant is complete, you will want to compare the data collected before the

grant with the data collected during the grant to see if the grant influenced change.

Surveys

- Survey Guidelines:
  https://www.sos.mo.gov/CMSImages/LibraryDevelopment/2020SurveyGuidelines.docx

- All survey's need to be approved by MOSL

- Avoid/minimize bias in questions

Surveys are required for any grant that provides interactive presentations, introduces new collections/materials/, or is a planning grant. If you are unsure if a grant has a required survey, first look at the award guidance for the grant and then if you still aren't sure, contact me. The slide has a link to the Survey Guidelines document that has actual copies of all of the required surveys. With all library created survey's, be sure all of the questions have a use. If the question doesn't have a specific use, take it off of the survey.

It's important to note all survey's must be approved by the state library. If you are using one of the standard surveys from the LSTA grants website, these are automatically approved as long as nothing is changed on the questions.

In the back of your mind, you need to think about how the data will be collected to help avoid bias. While only giving survey's to happy people will look nice on a report, persons that are critical may offer the chance to improve your service to everyone. In any method of data collection, its best if all patrons have equal access to the collection method. In general, anonymous responses and surveys that don't collect identifiable demographic information are more likely to be honest than if library staff is standing next to someone while they fill out a survey. If you would like to collect some limited

demographic information, first get it approved by MOSL, but second, list these questions at the end of the survey document. Responding persons tend to be less apprehensive about providing demographic data collected after their responses than if these questions were listed first.

When the State Library receives a custom survey, we look for questions that lead the respondent to an answer, ambiguous questions, and questions that don't match the responses. Both Cory and I have a great deal of graduate level academic study design and we will often offer suggestions to improve survey questions after we review submitted surveys.

Finances

- There are two parts to grant finance, the Application Budget Spreadsheet and the Budget Category narrative descriptions.

- Application budget spreadsheet
  - https://www.sos.mo.gov/CMSImages/LibraryDevelopment/MOSLApplicationBudget.xlsx
  - Use only in Excel
- Narrative descriptions.
  - Detail what will be purchased from whom, at what price, how it will be used, why it is needed for this project, and how it will be used.

The first thing I look at when I'm reviewing a grant application or a grant report is the Excel spreadsheet showing the finances of the grant. Since the main purpose of any grant application is to elicit grant funds for a project, this is one of the most important aspects. I require that my spreadsheets are used and the correct spreadsheet is linked in each application and report. It's important to note there are two different spreadsheets, one for the application and one for all reports. Both spreadsheets have locked formulas that will do the math for you and transfer the totals to the budget sheet tab. These spreadsheets and their format are purposefully designed so we can check the math and use the figures to complete the State Program Report on behalf of the library grantee.

When opening and working with these spreadsheets, do not use Google Sheets to open or enter data. The conversion to Google sheets removes the formulas, saves the numbers as text, reformats and locks the spreadsheet, and these can't be undone. Long story short, we can't even take the data out of a Google Sheet converted document as the text is embedded.

The first page of the spreadsheet does have instructions, which include entering the Library and Project names or number on the Personnel tab (even if you do not have

personnel in the grant). There are also some instructions on the individual tabs like how to remove the indirect cost, if the library isn't claiming this.

If you have more items than fit in a given category, you will more than likely need to combine like items. We need to have a general idea of what is included in a budget line to check for eligibility and in the case of computers to make sure the specifications are met, but don't really need to know there will be three different kinds of glue used for craft supplies. The details of what will be purchased, from what vendor, and how it will be used will be listed in the narrative portions of the application and reports. It's also important to sell why a given purchase is needed for the grant.

When you are creating a grant application, put your cost numbers into the spreadsheet first, double check their accuracy, and then enter the figures into the grant narrative. I will ding your application if the numbers on the budget spreadsheet don't match the numbers in the narrative and this will increase the likelihood of the grant being denied or funded at a lower level.

If your grant has multiple interim reports, your spreadsheet will show the financial totals for that time frame, except the final report, which will show the whole grant period. If you run out of rows on the spreadsheet, you may consolidate purchases for similar items from the same vendor.

Indirect Cost Rate

- The de minimus rate is 10% of eligible costs
  - Does not include Equipment
  - Does not include Local expenses
  - Cannot include ineligible expenses

- Libraries with small budgets should claim

- ICR should never be assigned to a specific expense/cost

The Indirect Cost Rate is the cost of implementing a grant that cannot be directly assigned a cost. Some things that are included in this cost are the time of full-time salaried employees working on the grant, the utilities cost of the building where grant programs are held, etc. As there are no direct costs associated with ICR, no specific cost should be itemized or listed on any reporting. ICR is claimed, not assigned to specific costs. If a library claims ICR, the spreadsheet will figure the 10% for you, and it should be noted that there is a $2,500 cap. If you are not claiming ICR, then follow the directions on the Indirect Cost tab on the spreadsheet to remove the amount. The application should agree with the spreadsheet, so if you intend to claim ICR, make sure the yes option is selected and the spreadsheet includes the amount.

As previously mentioned, the spreadsheet will figure the correct ICR for you. ICR doesn't include Equipment, Local expenses, or ineligible expenses. Applications claiming ICR cannot go over the maximum award amounts set by a grant. If an application goes over the grant award maximum and claims ICR, we will award ICR at 10% and reduce the amount of the award down to the maximum. Likewise, ICR cannot be less than 10%, other than when we round down to the nearest whole dollar.

I always recommend libraries with small budgets to claim ICR as it helps offset the cost

of implementing the grant.

Local Match

- https://www.sos.mo.gov/CMSImages/LibraryDevelopment/MatchRequirementforweb.docx
- Applies to Supplies (technology) and Equipment with a per unit cost of $1,000 or more
- Extended warranties beyond one year
- MOSL can require a local match
  - Non-priority grants
  - Limited availability of funds
  - Grants lacking pertinent detail
  - Purchases not necessary to the success of the grant

Single unit price $1,000 to $9,999.99, 1-3 years warranty included	25% local match
Single unit price $1,000 to $9,999.99, 4 years warranty included	30% local match
Single unit price $1,000 to $9,999.99, 5 years warranty included	35% local match
Single unit price $1,000 to $9,999.99, 6 years warranty included	40% local match
Single unit price $1,000 to $9,999.99, 7 years warranty included	45% local match
Single unit price $10,000, 1 to 5 years warranty included	50% local match
Single unit price $10,000, 6 years warranty included	55% local match
Single unit price $10,000, 7 years warranty included	60% local match
Extended Warranties Priced Separately	1st year fully paid LSTA, remainder local

Warranties beyond one year will need to be listed in local funds. For example, if you obtain a three year warranty and it is a total of $300, $100 would be listed in LSTA and $200 would be listed in Local Match.

Local match is the percent of funds the library will pay in the total cost of an item. The link to the local match document on the LSTA webpage is shown on the slide and included in the Award Guidance of grants when applicable. Under normal circumstances, the two technology grants will require a local match for items with a per unit cost of $1,000 or more. Likewise, items listed in the Supplies and Equipment categories with a $1,000 per unit cost for most grants will have a local match. With this being said, there are times the State Library does waive this requirement and if this is the case it will be listed in the Award Guidance. While a local match is required in the aforementioned grant types and budget categories, the state library can require a local match for a verity of reasons, including grants that don't meet stated priorities, when grant requests exceed available funds, poorly written grants, and grants that don't adequately justify the items listed for purchase.

LSTA can only fund the first year for warranties not included with the purchase of an item. Any type of bundled purchase including extended warranties is still limited to one year. As a side note, I've noticed the business class computers from several manufacturers now have a factory three year warranty included, which would be eligible for LSTA funds as it is not able to be purchased separately. The personal class computers still have a one year warranty.

When a local match is required by the state library, the library is expected to implement the grant as stated in the application. If a library listed i7 computers on the application, they would not be able to downgrade to i5 computers to lower the overall cost, to include the local match. Any large change would need to be approved or amended by the state library.

Large Purchase Price Analysis

- If your grant application includes an item, a set of the <u>same</u> item, or services totaling $3,000 or more, a cost comparison must be completed unless you are purchasing the item(s) from a state contract.

- Justification-explains why the selected vendor was chosen.

- Single Feasible Source- While some similar goods/services exist from other companies, the good/service of one company is the only one that works for our situation.

- Sole Source- one company has a monopoly on the good/service and no similar/substitute good/service exists.

The Large Purchase Price Analysis is the process of obtaining and comparing pricing for a given item or set of items before the purchase. The Procurement Certification will be required with a report, generally the final report, after the purchase is made using the information collected during the Large Purchase Price Analysis. LPPA is required anytime a single item or group of the same item is at $3,000 or more. If your budget includes a line with $3,000 or more from the same vendor and the description doesn't make it clear if you purchased the same or similar items, I will ask for clarification. There has been a few times that grant applicants have submitted the Procurement Certification with the grant application in place of the LPPA and we cannot accept this with the application, as it insinuates the purchase has already been made, which would make the purchase ineligible for grant funding.

The Large Purchase Price Analysis will need a minimum of three different vendor price quotes. These quotes can come from looking at websites, phone calls, or a more formal collection of bids, quotes, etc. If you go through the state contracted vendor, currently SHI, you do not have to get extra bids. I recommend keeping a copy of these bids for the grant packet. The LPPA will list how you got the quote, phone call, email, web search, etc., the date the quote was received, the vendor name, and the amount. If a vendor does not respond with a quote, this still counts and should be listed.

Once the bids are received, then you must choose one of the vendors and explain why the vendor was chosen. Choosing a vendor may be dictated by library policy, may follow the state policy of choosing the lowest bid. The justification for anything other than lowest bid will need to be very sound. It's also important to know the state library does our own review of the costs and may award on a lower cost than the vendors listed by the library. In some circumstances, a vendor having the item is good justification.

There are two options for single feasible source and sole source justification, but these are rare. Single Feasible Source acknowledges that similar goods or services exist, but only one product will work and the other products won't work for the library. Multiple bids will still be collected for single feasible source and the justification for selection will need to be strong and clearly articulate what makes the chosen vendor the only option. An example of this would be the library bids out annually for IT support and awards a bid. Due to this pre-existing contract for services, the cost of the IT work for a grant could not be rebid. In this circumstance, the library would list the bids for the original contract and explain how the vendor was chosen.

Sole Source in this day is very, very rare. Sole Source is claiming that only one product or service exists from one company and nothing similar exists. Many vendors will claim they are the only one offering a specific item, but nearly all of the time there is a substitute product. Think of the Chevrolet Corvette. These are only made by General Motors and it's the only vehicle with the Corvette name. While you might think this is Sole Source, it is not because there are a number of other manufacturers that make two door mid-engine sports cars otherwise known as substitutes. Likewise, nearly every database vendor claims they are the only one offering their specific product and this is not correct, as there are numerous substitutes. If you were purchasing the Corvette, single feasible source might be a possibility, if your area does not have another car dealer that can get a competing product.

Equipment and Prior Approval

- Equipment is anything tangible with a single unit price of $5,000 or more
- Tangible items with a cost of $4,999.99 or less will be listed in the Supplies category
- Equipment requires Prior Approval from IMLS, before the item can be purchased.
  - The State Library attains Prior Approval on behalf of the library
  - The request consists of cost information, a brochure with specifications, and the need/reason for the purchase
- 2

Many persons are confused at what to list in each budget category. While most of the categories are relatively self explanatory, the Equipment category throws a lot of persons for a loop. The Equipment category is completely based on the individual price of a tangible item. The identity or type of item is not relevant, only items with a per unit price of $5,000 or more will be listed in Equipment. If you purchase four computers at $1,250 each, these will be listed in Supplies, even though the total price for the four computers is $5,000, their individual price is $1,250. If you purchase a rock for $5,001, this will go in Equipment.

Anything properly listed in the Equipment budget category requires prior approval from IMLS. The state library will use the information provided by the library to attain the Prior Approval on behalf of the library. Normally, this is done prior to the grant award, but if is not attained, then the library does not have authorization to make the purchase for the item until Prior Authorization is granted. Equipment does have a required local match.

Grant funded personnel can be complicated and has a decent amount of restrictions. It's important to be aware of what you can and cannot do with grant funded personnel. First we should recognize that Personnel as a budget category is only applicable to in-house employee work, if you are contracting with someone else for a service like computer installation or printing, these persons would be listed in the Services category. When figuring the cost for the budget estimate, the pay can include benefits cost and should follow the library's human resource policies.

Only part-time and temporary employees are eligible for Personnel funding. Full-time temporary employees can be eligible in some rare circumstances, but ask about this prior to submitting the application. I generally advise libraries to avoid hiring "interns" as internships are general in nature, whereas Personnel used for grants is very specific.

If you request personnel hours and it is awarded, the person doing the work cannot work on anything outside of the grant. To reiterate, general library work, the employee's regular work, and work for any other grant is not allowed under any circumstance. To this end, the employees time sheet must show their regular hours and the grant funded hours separately. The employee must sign their time sheets for the grant file. The grant hours would be paid on the same time frame as the normal pay

schedule. The library cannot increase/decrease or give special pay to persons working on LSTA grants that use LSTA funds for Personnel. Furthermore, the employees regular hours cannot be reduced and replaced by grant funded hours.

If you intend to request Personnel on a grant, it's best if all of the information about the employee's regular hours, pay, the work the employee will do with the grant, and the need for the grant support are clearly articulated.

The Grant Award Packet

- This is the document that shows what was approved for your grant.
- Pay particular attention to the Budget Memo page:
  - Shows changes to the finance portion of the budget
  - Includes notes about any changes to the grant and the grant's finances
- Payment requests
  - Sent to LSTA@sos.mo.gov

The grant packet is uploaded into the grant system once the State Library has awarded the grant. The grant award packet will begin with a congratulatory letter from the State Librarian and will show the grant number and the amount awarded. Also included in this packet is the Budget Memo, instructions which include payment request conditions and report dates, and payment request forms. This packet should be reviewed prior to submitting the Grant Acceptance. The budget memo page will show what was funded and at what amount and any changes implemented by the state library. All applicable payment requests are also included in the packet. This packet should be printed and placed in your grant file.

The Grant Acceptance Letter

- Is located in the grant management system
- Is use to accept or decline the grant offer from the State Library

- Accepting the grant includes agreeing to the following:
  - Any changes implemented by MOSL
  - Implementing the grant as stated in the application, to include any changes made by MOSL
  - Terms, Conditions, Certifications, and Assurances listed in the grant application.

After reading the Grant Award Packet the next step is to either accept or decline the grant award offer. Selecting the "We accept the grant" option means you agree with any changes imposed by the Missouri State Library listed on the Grant Award letter, to implement the grant as stated in the application, and all of the Terms, Conditions, Certifications, and Assurances listed in the grant application by reference and links.

The Grant Number

- Grant numbers are structured like this: 2021-LAX1-ARP21-088
  - 2021= Calendar year the grant was issued
  - LAX1= MOSL funding category code (generally three letters, LAX) followed by the federal fund year (one number, 1)
  - ARP21= MOSL Grant project code (three letters, ARP) followed by the federal fund year (two numbers, 21)
  - 088= the grant sequence. 088 would represent the 88th grant issued in 2021

Included in the grant award packet and the grant acceptance letter is the Grant number. Each grant has a unique grant number structured using the calendar year when the grant was issued, the funding category used by the state library, the project code used by the state library, and the sequence number. In the example shown on the screen, the 2021 represents the calendar year this grant was issued. The LAX1 shows the grant came from the 2021 ARPA fund and the ARP21 shows it was the American Rescue Plan 2021 grant. The sequence number at the end shows it was the 88th grant the state library issued in the calendar year 2021.
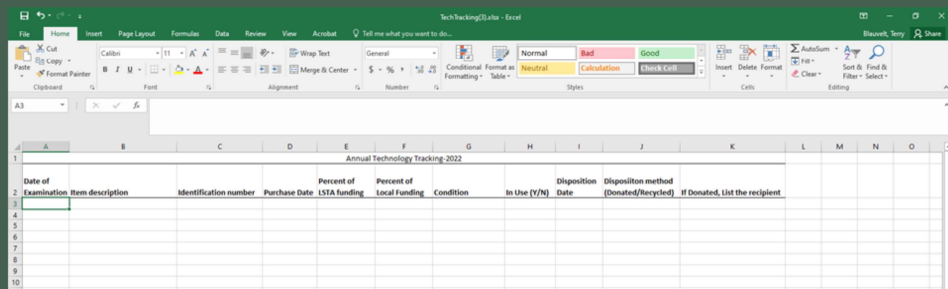
The Grant File

- 1. Original application
- 2. Grant Agreement Standard Terms and Conditions
- 3. Signed copy of the Grant Acceptance Form
- 4. Signed copy of the Grant Agreement
- 5. Signed copies of the Certifications and Assurances
- 6. Documents pertaining to an amendment, as appropriate
- 7. Payment requests, completed
- 8. Interim and final reports, completed
- 9. Outstanding report and payment forms
- 10. Invoices
- 11. Payroll documentation (if applicable to the grant)
- 12. Travel documentation (if applicable to the grant)
- 13. Market analysis documentation
- 14. Bid process documentation
- 15. Promotional materials
- 16. Evaluation measures: statistics, surveys, etc.
- 17. Documentation of contacts with the State Library staff

Don't worry about trying to write this down, as the Grant Folder Content list is on the MOSL LSTA webpage. Each grant is required to have a grant file. I recommend using a three ring binder with tabs to separate and identify each section. While it is not required to put these in this order, I do find this to be a logical sequence. Within this list there are a few things that may not pertain to your grant, like the amendment in 6 and areas that may not have been awarded or eligible for a specific grant like 11-14. Depending on the type of grant you have, there could be additional items needed. As a general rule, it's better to keep more than necessary, than not have the required items. Per the state records retention schedule, It is required that the grant file be kept for 10 years from the end of the state fiscal year after the end of the grant period.

If you purchase tangible items like computers, printers, servers, etc. with LSTA grant funds, the federal government requires your library to track the item, its purchase date, the percent of LSTA and local funding, current condition and if it has been disposed, the method of disposition and the recipient. This review should be completed annually. If LSTA funds are used to purchase an item, either whole or in part, the item can only be donated or recycled. The image on the slide is of the spreadsheet available on the MOSL LSTA grants webpage which can be used to meet this requirement.

Reports and Payments

- Reports are only filed and accessible in the online grant management system in sequential order.
  - Edit= ready to file
  - View= already submitted
  - Preview= not due yet
- All payments should be sent to LSTA@sos.mo.gov
  - First payment can be submitted after the grant period begins and the library must begin spending funds within 45 days of receipt of these funds.
  - Second payment (if applicable) can be submitted after the first interim report is submitted and the library must begin spending funds within 45 days of receipt of these funds.
  - The final payment must be submitted with the final report and will be for the final payment amount or the amount spent, whichever is less.

When you log into the online grant management system, your dashboard will have a section for each active grant. Within each grant is a listing of each report that will have to be filed. On the right side of the section is the Edit/View column. When a given report is eligible to be filed, this column will show the word "edit." Once the report is submitted and accepted by MOSL, this will change to the word View. Items that are assigned to a library, but not yet due will show the word Preview. Long story short, the system will not let you submit the reports out of order.

The conditions of payment are the same for every grant and all payment requests should be sent to LSTA@sos.mo.gov. Furthermore, all grant payments must begin being spent within 45 days of receiving the grant payment. The first payment can be submitted anytime after the grant begins. If applicable, the second payment can be submitted with the first interim report or after the first interim report is accepted. The final payment request is submitted with the final report and is processed after the final report has been reviewed and accepted.

LSTA funds can only pay up to the amount awarded or the amount spent on eligible and approved expenses, whichever is less. The award amounts cannot be adjusted, accept through an amendment.

Changes

- Grant Adjustment Memo (GAM)
  - Smaller changes
    - Changes in budget categories
    - Changes in grant period dates
    - Takes a day or two to complete
    - Completed through email
  - Must be filed a minimum of three weeks prior to the end of the grant period
  - Somewhat common

- Amendment
  - Change of Scope
  - Changes in the amount awarded
  - Can take up to six weeks to complete
  - Uses the Amendment Request Form
    https://www.sos.mo.gov/CMSImages/LibraryDevelopment/RequestforAmendment.pdf
  - Must be filed a minimum of three weeks prior to the end of the grant period
  - Very rare

While most grants will not have large changes in their implementation, but occasionally libraries will need to make modifications to the timeline and activities listed in the grant application. Most small changes, like changing presenters, can be approved by the State Library. While some things like changing vendors can be handled at the library level without consulting the state library, sometimes the changes do require input from the state library. When you find yourself in a position of needing to make changes to your grant, the first step in any circumstance is to contact the state library and explain what is occurring. At that time, we will advise you of your options. It's important the library wait to implement changes until the state library approves of any alterations to the original agreement, just in case they are not approved. Grant guidelines require any large change to be submitted to the state library a minimum of three weeks before the grant period end date. The state library has two mechanisms to enact larger changes in the Grant Adjustment Memo and the formal Amendment.

The Grant Adjustment Memo is used for medium changes like moving funds from one budget category to another or extending due dates due to vendors not shipping in a timely manner. These are requested through an email and generally are approved in a short time frame. The email request from the grantee library will need to clearly state what is changing within the grant. If budget categories are changing, the amount being

moved and the new budget line total will need to be established. I do work with libraries to work out these details to make sure the GAM clearly states the changes. In a given fiscal year, GAMs are filed for roughly 5-8% of all grants.

The formal amendment is the option for instituting significant changes to a grant. The amendment has a specific form that is used and due to the additional review and signature requirements from our legal department and executive staff may take up to six weeks to process. As amendments are a formal process, the justification for implementing changes must be very reasonable and sound. I have only approved three library initiated amendments in the last three years and we have had approximately 640 grants in that timeframe.

Questions?

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