



**TECHNOLOGY MINI-GRANT GRANT MANAGEMENT SESSION
SUMMER 2016**

*Presented by
Shay Young*



Missouri
State Library
Jason Kander • Secretary of State

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

Session Objectives

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



During the session we will look at:

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



GRANT MANAGEMENT BASICS

PLEASE NOTE

As of April 30, 2016, the Missouri State Library can accept grant documents via email, fax or mail:

Email Address: LSTA@sos.mo.gov

Fax Number: (573) 751-3612

Mailing Address :

Shay Young, LSTA Grants Officer
Technology Mini Grant
Missouri State Library
600 West Main Street, P.O. Box 387
Jefferson City, MO 65102-0387

Because of the recent Administrative Rule Change, the Missouri State Library can now accept grant report documents via email, fax or mail!

Accepting the Grant

- Sign and return one copy of the grant acceptance form
- Sign and keep a copy of the 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 signature on this form, but the signee may vary based on your library's bylaws on who is an authorized signer.

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.

Grant Timeline

- Begins: September 1, 2016
- Ends: March 31, 2017
- Final Report Due: April 28, 2017



The start date for the grant is September 1, 2016

DO NOT PLACE ANY ORDERS OR PURCHASE ANY MATERIALS BEFORE SEPTEMBER 1, 2016. IF YOU DO, THOSE COSTS BECOME A LOCAL EXPENSE; LSTA FUNDS CANNOT BE USED FOR THEM. If you are in this situation, please give me a call at 1-573-751-2679 after today's session.

The end date is March 31, 2017. All services should be rendered and all items received and operational by this date.

The final report is due April 28, 2016. 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.

Award and Forms Packets

- The award packet will be in PDF format and sent via email. It includes:
 - Grant acceptance form
 - Budget memo
 - Payment requests

- The forms packets are available online

The award packets are in PDF format and are/will be sent via email. This packet contains the grant acceptance form, a memo letting you know the awarded budget breakout, and payment request forms customized for your library.

You may submit the Request for First Payment after the start of the grant period AND you anticipate you will need to begin spending those funds within 45 days. The Request for Final Payment must be submitted with your Final Report. Note, the payment request forms are ONLY available in your award packet.

The forms packet is available online on the LSTA grants page in the LSTA Grant Report Forms section. Under the heading LSTA Grant Report Forms.

Promotional Efforts

"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."

- See the IMLS Communications Kit at <http://www.imls.gov/assets/1/AssetManager/GCK.pdf>



In your grant agreement, there is language to use to acknowledge the funding source for your project. Promotional items such as newspaper articles, flyers, brochures, and surveys must acknowledge the grant funding.

The full IMLS acknowledgment text is: "This (project/publication/activity) 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"."

It is permissible to use a shortened statement when there are space constraints. If this is needed, IMLS prefers that you drop the phrase Library Services and Technology Act instead of Institute of Museum and Library Services. So, the shortened version would read: "This (program/project) was funded in part with a federal grant from the Institute of Museum and Library Services as administered by the Missouri State Library."

The Institute of Museum and Library Services has a Communications Kit to guide you in your promotional efforts. It includes:

- 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

Limited English Proficiency Guidance

- Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which prohibits discrimination on the basis of race, color, limited English proficiency, or national origin

Link to Limited English Proficiency Guidance:

<http://s1.sos.mo.gov/CMSImages/LibraryDevelopment/IMLS%20Guidance%20on%20Limited%20English%20Proficiency.pdf>



Per guidance from the Institute of Museum and Library Services grants and contracts awarded from LSTA funds must take reasonable steps to ensure that limited English proficient persons have meaningful access to the applicant's programs. Additional information is available at [Limited English Proficiency Guidance](#). An example of an accommodation is having a Spanish language translator available at your computer classes. Additional information is available at the link on the screen before you.



Budget Categories

- Budget Categories
 - ▣ Equipment
 - ▣ Technology and Software
 - ▣ Consultant Fees
 - ▣ Services



Please also note, there are changes in the way that Equipment and Technology and Software will be reported as well as Consultant Fees and Services.

Equipment is defined as items with a single unit cost of \$5,000 or more. A 25% minimum local match required. There is a 50% local match required for items with a per unit cost of \$10,000 or more.

Technology and Software is defined as hardware such as computers, printers, whiteboards; and software such as print/time management or office production. A 25% minimum local match is required.

Consultant Fees are expenses related to acquiring the services of an outside consultant for the **management, oversight and administration of the LSTA project**. Costs may include consultant fees, travel, lodging, and support services hired directly by the consultant.

Services is for services provided by a third-party contractor or vendor for expertise **other than** managing the project. Examples of services include training providers, program presenters, and outside IT support.

Changes in Indirect Cost Rates

Now allowable as an LSTA cost. There are three options:

1. Declining to receive payments for indirect costs
2. Using your institution's Federally Negotiated Indirect Cost Rate
3. Using the de minimis rate of 10% of modified total direct costs (MTDC)

**FUNDING FOR INDIRECT COSTS MUST BE APPROVED
AT THE TIME OF THE APPLICATION.**



Previously, indirect costs were not an allowable cost in the Missouri State Library's LSTA grant programs. Indirect costs are those expenses incurred for a common or joint purpose benefitting more than one project or service, and not readily assignable to a single project. Costs may be facilities or administrative in nature. Examples administrative staff salaries, building and utility costs, and telephone services.

Per 2 CFR 200 and guidance from the Institute of Museum and Library Services, institutions are now allowed to charge indirect costs to federal grants. The indirect cost rate applies to the LSTA portion only. **HOWEVER**, indirect costs may only be charged to the grant **if they were included in the original grant application budget**.

Changes in Report Requirements- Certification

- **Single Page Certification**

**MISSOURI STATE LIBRARY – LIBRARY SERVICES AND TECHNOLOGY ACT
TECHNOLOGY MINI- GRANT
REPORT CERTIFICATION PAGE**

Grant Project Number:

Grantee Name:

Project Director:

Name of person(s) making this report:

Phone number with area code

E-mail address:

1. Total grant funds spent as indicated on the Final Financial Report:
2. Total local funds spent on the project as documented on the payment summaries:
3. Total number of people affected by the project during the grant period:
4. Target audience. Select all that apply.

<input type="checkbox"/> All ages	<input type="checkbox"/> Ages 0-5	<input type="checkbox"/> Ages 6-12	<input type="checkbox"/> Ages 13-17
<input type="checkbox"/> Ages 18-26	<input type="checkbox"/> Ages 28-49	<input type="checkbox"/> Ages 50-69	<input type="checkbox"/> Ages 70+
<input type="checkbox"/> Intergenerational groups (excluding families)	<input type="checkbox"/> Families		<input type="checkbox"/> Immigrants/Refugees
<input type="checkbox"/> Low income	<input type="checkbox"/> Unemployed		<input type="checkbox"/> People with disabilities
<input type="checkbox"/> Library Staff, Trustees, or Volunteers	<input type="checkbox"/> People with limited functional literacy or information skills	<input type="checkbox"/> Non/Limited English-speaking persons	

5. Was the grantee subject to a Single Audit during the project grant period (i.e. received \$750,000 or more in federal funds)?

REPORT CERTIFICATION: By my signature, I believe the narrative report is correct, accurately describes what happened during the grant period, and realistically assesses the impact the project had on library use and operation. I further believe the financial report and payment summary are correct, and that all items listed in the payment summary are for the purpose set forth in the award documents.

X
Signature of Authorized Individual

Title of Authorized Individual:

Date:

If you haven't already done so, I heartily encourage you to look at the final report forms so you can see the changes in the questions asked. There is now a Single Page Certification. The Financial and Narrative signature lines have been relocated to the Certification Page. An example of the new Certification page is provided on the Screen.

Changes in Report Requirements- Statistics

- More Detail on Outputs
 - ▣ Items purchases
 - ▣ Interactive Instructional Programs
 - ▣ Instructional Presentations/Performances



There are now additional report requirements for describing OUTPUTS (statistics). Outputs are the things you count that can provide statistical evidence that something took place.

You need to specify the number of computers purchased, the number of early literacy stations purchased etc. on the payment summary. In the report you will be asked to provide usage stats for any computers, laptops, etc., you purchased as part of the project. You must also provide additional information on programs offered.

- Question 5 asks about **Interactive Instructional Programs** – these are programs that include formal instruction and active user engagement such as hands-on activities. You are asked to provide the Name of the Program, Program Location (where it was held), Program Length, Number of Times the Program Was Offered, Total Attendance at the programs, and a description of Program Activities. You can group similar programs and report them in the aggregate. For example, you may have held weekly computer training classes for a total of 4 sessions with a total attendance of 36. (An average of 9 per session.) You would then describe what took place in general terms. Such as, throughout the four week program, attendees were introduced to basic computer and Internet search skills.
- Question 6 asks about **Instructional Presentations/Performances** – these are programs where there is formal instruction, but little or no attendee interactivity beyond Q/A sessions. You are then asked to provide the same information as you did for the Interactive Instructional Programs.

See the online forms packet to see examples of answers to questions 5 and 6.

Changes in Report Requirements

- Specify Evaluation Methodology Used
- Different Detail on Outcomes
 - ▣ Still reflects changes in the benefactor
 - ▣ Adds a quantifier
- Importance of Findings



The report forms also ask you to identify the evaluation method used to assess project impact. You have options of Survey, Review of Statistics (the statistics you gathered), Interviews/Focus Groups (can be formal or informal with staff or with patrons), Participant Observation, or Other (Please describe).

Outcomes still look at changes in attitude, knowledge, skills, behavior, life situation, etc. of a person, but you now have a quantitative element as well. For example, if you did pre- and post- surveys, maybe you found prior to project implementation 20% of users were satisfied with the computers available compared to 73% after the new computers were installed.

Importance of Findings is where you describe what the changes mean to your patrons, staff, and community. For example, you could say review of the outputs and outcomes showed there was improved customer satisfaction post-project implementation. And perhaps you might also conclude that it is important for the library to stay current with technology to better meet patron needs and expectations.

Changes in Report Requirements

- Project Partners
- Project Continuance
- Effort Level
- Project Scope
- Quantity on Payment Summary



PROJECT PARTNERS: Leveraging partnerships has taken on increased importance with IMLS, and you will now be asked to list all project partners, including where they are located. So, for example, if the WIC Clinic in your community helped to promote the availability of the library's new early literacy stations to their customers, you would list them as a partner. For project partners, the library does NOT have to include where the partners are located.

PROJECT CONTINUANCE: You will be asked if the project will continue after the grant period. If so, describe how it will continue? For example, the project may continue in that the computer and software purchased through the grant will continue to be available for use.

EFFORT LEVEL: Will the level of effort change when the grant period ends. If so, how will it change? Perhaps your level of effort will be to perform regular updates and maintenance yourself or you will purchase an annual maintenance contract for the equipment using local funds.

PROJECT SCOPE: Will the scope of the project change following the end of the funding period? You will probably have a change in scope from purchasing and installing equipment to maintaining equipment.

PAYMENT SUMMARY: A Quantity column has been added to the payment summary so you can report the number of items purchased.

There are answers in the Resource Section to questions 8,9,12,13, and 14 of the report forms.

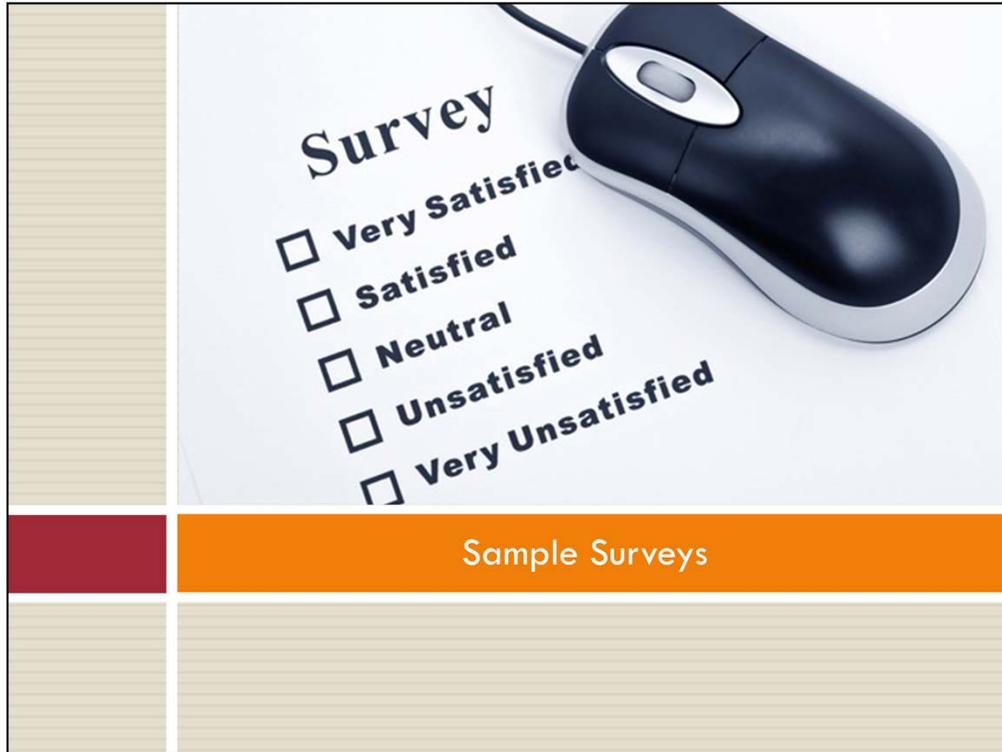
When to Survey Participants

		Beneficiary	
		Library Workforce	General Public
Activity	Instruction	Yes, if items or services will be used for training	Yes, if items or services will be used for training
	Content	Yes, if technology includes instructional or educational software	Yes, if technology includes instructional or educational software
	Planning & Evaluation	Yes	No
	Procurement	No	No

This slide represents our most recent change. Recently, IMLS released new guidelines for when to survey participants in LSTA projects. While previously an emphasis was placed on surveys, this chart shows that a survey may not always be the best way of assessing success. Not all projects can reasonably make an attribution of outcomes in surveying participants; that depends on both the project's *activity* and *beneficiary*.

For the purpose of this grant, if the items to be purchased involve training or have instructional or educational software, a survey may be a useful tool in assessing project impact. If the project is solely the purchase and installation of new equipment, such as a server, the library would not use a survey as part of the evaluation process.

Another example: if you are just updating software packages on your public computers, you would not need to survey patrons. However, if you were adding software and had some type of training to go along with it, a survey would be helpful in showing outcomes.



The Resource Section of the grant has been updated to include a new selection of sample surveys to meet the reporting requirements set by IMLS.

Are there any questions at this point? If not, experienced project managers are welcome to leave this session and we will continue with covering some grant management basics.



Report Requirements

□ 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

Be sure your request for final payment is based on actual costs. If a local match is involved, be sure you round down the LSTA share to the nearest penny. If you do not spend all of the funds you were awarded for allowable costs, adjust the final payment total by subtracting the amount not spent (the “LSTA Unspent Balance” on your financial report) from the final payment total. In the event you did not spend all of the funds from the first payment, remaining dollars will need to be returned to the State Library. Be sure your request for final payment is based on exact costs, and Do NOT round.

Please remember to submit your Final payment request with your final report!

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 to Date	LSTA Unspent Balance <i>(To be subtracted from final payment amount)</i>
Consultant Fees	\$525	\$526.93	\$-1.93
Equipment (Items with a single unit cost of \$5,000 or more; 25% minimum local match required; 50% local match for items with a per unit cost of \$10,000 or higher)			
Technology and Software (25% minimum local match required)	\$9,876.00	\$9,874.17	\$1.83
Furniture (Accessible workstations only)	100.00	\$95.27	\$4.73
Personnel (Including salaries, wages, and benefits)	\$56.00	\$56.00	0
Services			
Supplies	\$100.00	\$100.00	0
Travel			
Indirect Cost Rate			
TOTAL	\$10,657.00	\$10,652.27	\$4.73

As I mentioned earlier, when reporting the amounts spent, you will especially want to note changes in the Equipment and Technology and Software categories.

On the Financial Report:

Report only LSTA funds spent in the chart. Please use EXACT figures. ROUND DOWN TO THE NEAREST PENNY FOR LSTA.

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

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.

List expenditures by budget category and use exact costs. Be sure that the match requirement is calculated correctly. **Be specific as to the number of hours worked, number of items purchased, etc.** (e.g., 22 Computers, 10 hours of IT support, ect).

If you were awarded funding for computers, attach documentation that shows the specifications of the computers purchased. We will use this to ensure minimum specifications set by the State Library have been met. Note, the minimum specifications may have been waived during application review. If you are unsure if this is the case for you, give us a call.

This documentation should be a copy, retain the original invoices for your files.

It is generally best if supply purchases are paid directly to the vendor and **NOT** reimbursed to the project director or some other library staff person

Report Requirements

□ Payment Summary – Reporting personnel costs

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

Budget Category	Description of item or service	Quantity	Invoice Number	Invoice Date	Vendor	LSTA Funds	Local Funds	Total
Personnel	Computer Installation	15 hours	827	October 2016	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.

Remember, you should include TOTAL personnel costs here: salary, wages and benefits.

Report Requirements

□ 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, come under 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.

Report Requirements

□ Procurement Certification

- Needed when the cost of an item or set of items meets your institution's large purchase criteria
- **State Guidelines:** Over \$3,000 in the aggregate

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.aa.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**

- Activities
- Project changes and additions
- Financial Status
- Outputs
- Interactive Instructional Programs
- Instructional Presentations/Performances



Answer all questions on the program. Note, the single audit requirement threshold is now \$750,000 received in federal funds during the fiscal year of the grantee – City, Public Library, University, School District, etc.

ACTIVITIES: Describe what the library did during the funding period . Discuss how these activities contributed 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.

FINANCIAL STATUS: Describe any significant variations from the approved budget.

OUTPUTS: What statistical measures did you record that show evidence of service delivery? How do these measures compare to the baseline data gathered prior to the project?

INTERACTIVE INSTRUCTIONAL PROGRAMS: If applicable, describe any interactive instructional programs offered during the reporting period. These programs include formal interaction and active user engagement. Please note: each type of program needs to be reported separately using the format provided on the online forms packet.

INSTRUCTIONAL PRESENTATIONS/PERFORMANCES: If applicable, describe any instructional presentations or performances offered during the reporting period.

Report Requirements Continued

□ Narrative Report

- Evaluation Methods
- Outcomes
- Importance of Findings
- Project Promotion
- Project Partners
- Project Continuance
- Effort Level
- Project Scope
- Other



EVALUATION METHODS: Check the evaluation methods that the library used to help assess the project's impact. If a survey was used, please include a blank copy of the survey with the Final Report.

OUTCOMES: Record the evidence that shows there were changes in behavior, skills, attitudes, life condition, status, etc. **If a survey was used, please summarize the results.**

IMPORTANCE OF FINDINGS: Evaluate what the outputs and outcomes tell you regarding the changes that have taken place.

PROJECT PROMOTION: In general, how was the project promoted within the library and community and how effective were each of the efforts? In particular, what attempts were made to attract previously underserved audiences to the Library and what were the results? Also indicate how the community was informed this project was funded through an IMLS-LSTA grant. Attach copies of the promotional efforts: newspaper articles, flyers, brochures, etc. The suggested acknowledgement is *"The project was made possible in part by the Institute of Museum and Library Services and Technology Act as administered by the Missouri State Library a division of the Office of the Secretary of State"*.

PROJECT PARTNERS: If applicable, this is where you will provide a list of all project partners.

PROJECT CONTINUANCE: Do you anticipate continuing this project after the funding period ends? Please describe.

EFFORT LEVEL: Describe how your level of effort will change.

PROJECT SCOPE: Will the scope of the project change following the end of the funding period?

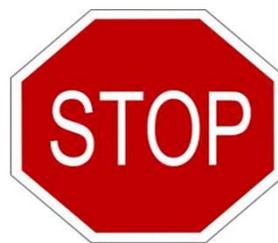
OTHER: Other comments as appropriate.



Are there any questions before we move onto Prior Approvals and Amendments?

Prior Approvals

- 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, feel free to contact either Jennifer Thompson, or me. We 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



Request for Amendment

- Submitted at least 3 weeks before the end of the grant period
- Filled out completely including reasons for the change
- Must be fully executed before placing any orders, etc.
- Online on the Library Development Grant Programs site
<http://s1.sos.mo.gov/library/development/lstagrants>



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://s1.sos.mo.gov/library/development/lstagrants> in the LSTA Grant Report forms section.

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

- ❑ A routine part of the grant process
 - Report reviews
 - Phone calls
 - E-mails
 - Site visits
- ❑ Project progress
- ❑ Findings

THE PULSE OF PROGRESS



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 request 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 statics gathered 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.

Best Practices

- ❑ Watch for project changes
- ❑ Keep all original invoices, timesheets and travel logs
- ❑ Make copies of all forms you send
- ❑ Answer all the questions; fill in all the blanks
- ❑ File all reports on or before the deadline

- 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.

ALSO REMEMBER TO SUBMIT YOUR FINAL PAYMENT REQUEST WITH YOUR FINAL REPORT TO KEEP DELAYS AT RECEIVING YOUR PAYMENT TO A MINIMUM

Best Practices



Grant Writing and Management Manual

[http://s1.sos.mo.gov/cmsimages/LibraryGrantsTemp/
GrantsManual.pdf](http://s1.sos.mo.gov/cmsimages/LibraryGrantsTemp/GrantsManual.pdf)

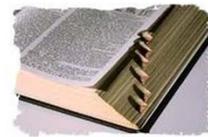
The Grant Writing and Management Manual is available online at the address listed on the screen.



Now, a quick look at some terminology frequently used.

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
8. Certifying Authority – may vary by library



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

9. Results Based Management – changing the project based on results
10. Output – evidence of service delivery
11. Outcome – changes in attitude, behaviors, knowledge, skills, status, life condition
12. Outcome Based Evaluation – describes how the project made a difference

Shaping Outcomes at www.shapingoutcomes.org



Results based management: Term being 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.

DETERMING THE IMPACT YOUR GRANT PROJECT HAS HAD ON YOUR CUSTOMERS IS VITAL!!

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?

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. You need data to aid in your evaluation.

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

- Observation
- Interviews
- Questionnaires or Surveys
- Focus Groups



•Observation – What do you SEE has changed

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

○How you can HEAR about changes

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

○ How you can READ about changes

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

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? That can show you have better customer service.
- All of the these can help show improved customer service satisfaction.



Questions

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Don't hesitate to contact us if you have any questions about how to manage the grant.

When you exit today's session, you will be prompted to complete a short survey. Please take the time to do so. This helps us to know if our sessions are helpful, and how we can improve them.