

INDIANA STATE LIBRARY

Managing Your LSTA Grant *2009 Manual*

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Chapter 1

Introduction

This manual is intended to provide you with an easily accessible guide to managing your project from the time you are awarded the grant until you turn in your final reports. For some, this is a first LSTA sub-grant, while others are seasoned grantees. Regardless of your familiarity with the LSTA sub-grant process, we recommend that your project director become familiar with this manual. **Grant requirements change from year to year** and this manual provides the State Library with an opportunity make you aware of these changes.

Please note: This manual is for 2009 grants. If you have a 2010 grant, please refer to the 2010 manual.

Chapter 2

General Responsibilities

Grant Consultant

It is the responsibility of the LSTA Grant Consultant to assist you in completing a successful project. That often means working closely with you throughout the year and sometimes even beyond. The consultant is also responsible for monitoring all aspects of your project – programmatic and financial – and reporting the results to the Institute of Museum and Library Services.

The consultant's responsibilities include:

- *Communicating frequently with grantees and soliciting feedback*
- *Advising the project director on programmatic and/or financial issues that arise*
- *Completing site visits to assist with and monitor projects in the field*
- *Reviewing reports and reimbursement requests*
- *Approving all project revisions in accordance with the contract*
- *Submitting a final annual report about LSTA expenditures to IMLS*
- *Documenting exceptional grant projects and helping to spread the word of their successes*

Grantee

The library, network, cooperating group, or regional library system, as the proud recipient of this award, is known as the grantee. As such, it contracts with the State Library to expend awarded funds in accordance with the plan set out in the grant proposal and to accomplish the objectives as approved. **A Project Director must be assigned to the project and will be primarily responsible for meeting contract obligations and approved goals.** Responsibilities of the grantee & project director follow on the next page.

Responsibilities of the Grantee & Project Director

- Following all state and federal laws
- Ensuring that contractual agreements between the State of Indiana and the grantee are met and that any disbursement of funds is made only after the contract has been finalized (*see Chapter 4: Contracts*)
- Carrying out the action plan as stated in the original proposal or with **approved** changes (*changes to the program as outlined in the application must first be approved by the State Library*)
- Requesting approval for revisions to programming plans or budget as necessary (*see Chapter 6: Program & Budget Revisions*)
- Giving recognition to LSTA and the IMLS in all publicity (*see Chapter 10: Publicity*)
- Appointing a project director who will be primarily responsible for the project
- Notifying the LSTA Grant Consultant immediately if the project director leaves or will be absent from the project for longer than three months
- Meeting reporting deadlines (*see Chapter 3: Timeline & Chapter 4: Reports*)
- Regularly submitting reimbursement requests (*see Chapter 7: Reimbursement Process*)
- Personally tracking reimbursement requests, expenditures, and obligations (*note: even if your business office is ultimately responsible for the accounting, the Project Director must still be aware of and accountable for how each dollar is spent*)
- Regularly submitting copies of survey results, newspaper clippings, flyers, and program announcements
- Preparing for site-visits (*see Chapter 9: Site Visits*)
- Spending all federal funds and the required local match
- Evaluating your project progress in meeting goals and objectives (*see Chapter 8: Reports*)
- Maintaining grant records for five years after the completion of the project

Chapter 3

Timeline

Because the due dates for all reports are known well ahead of time, it is expected that project directors plan ahead and submit each report on time. All required reporting forms are available online at <http://www.in.gov/library/lsta.htm>.

It may be the case that at the time of the first quarter progress report, the contract has just been returned, and no spending and little actual project work have been accomplished. The project director is still obligated to submit the report and should indicate when purchasing will begin and whether they are ahead or behind schedule.

Mark these dates on your calendar!

DIGITIZATION & TECHNOLOGY GRANTS 2009 TIMELINE

<i>February/March 2009</i>	Grants are awarded, applicants notified, contracts mailed
<i>April/May/June 2009</i>	Project begins when contract is complete (<i>see Chapter 4: Contracts</i>)
<i>July 31, 2009</i>	1 st quarterly report due
<i>November 26, 2009</i>	2 nd quarterly report due
<i>February 26, 2010</i>	3 rd quarterly report due
<i>May 30, 2010</i>	Project ends. All project funds must be spent or obligated
<i>June 30, 2010</i>	Last day to submit reimbursement requests unless prior arrangements have been made with the Indiana State Library.
<i>July 1, 2010</i>	Financial Final Report & Project Evaluation Plan Due
<i>October 1, 2010</i>	Narrative Final Reports due

Chapter 4

Contracts & Agreements

No grant project can begin without a completed contract signed by the grantee and approved by the State of Indiana. **The start date of your project is the day the Attorney General approves and signs the contract. Any funds spent before this start day WILL NOT be reimbursed.**

Completing the Contract

The Indiana State Library will send all grantees a contract. Each contract will include the grantee's name and address, project number, CFDA number, federal account number, amount of award, ending date of the grant, and duties of the grant.

Once the contract has been received in the mail, grantees are encouraged to get the appropriate signatures (see below) and return the contract as soon as possible. The signed contract must be returned to the Indiana State Library LSTA Program Coordinator, Martha Jane Ringel, at 315 West Ohio Street, Indianapolis, Indiana 46202. It will then be routed through state offices for signatures. This includes the State Budget Agency, State Department of Administration and Attorney General's Office.

Once the final signature from the Attorney General is received, a copy of the completed contract will be sent to the grantee for their files. *Note: This process can take up to 45 days. Please ensure you get the appropriate signatures and return the contract to us in the timeliest manner possible. Once you receive a copy of the completed contract, you may begin spending.*

Appropriate Signatures

Academic Libraries

The grants administrator or library director (or an officer of the academic institution) should sign the contract on the signature page and type in the date, his/her name, and title; the other person may attest.

Public Libraries

The library board must approve the contract at an agency board meeting and authorize the agency director to sign the contract. The library director should sign and date pages 8 and 9 of the contract. The secretary of the library board must fill out and sign the certificate of resolution on page 9 of 9, and have it notarized. The secretary grants authority to two persons, listed on the line marked number 2 on the certificate, to execute the contract. The board secretary cannot be one of the two persons who are being granted authority to execute the contract. At least one of the persons on line 2 must have signed the contract on page 8 of 9.

School Media Centers

The school board must approve the contract at an agency board meeting and authorize the superintendent to sign the contract. The superintendent should sign and date pages 8 and 9 of the contract. The secretary of the school board must fill out and sign the certificate of resolution on page 9 of 9, and have it notarized. The secretary grants authority to two persons, listed on the line marked number 2 on the certificate, to execute the contract. The board secretary cannot be one of the two persons who are being granted authority to execute the contract. At least one of the persons on line 2 must have signed the contract on page 8 of 9.

Completing Agreement Forms

Federal Requirements

In addition to receiving a contract from the State Library, you will also receive an agreements form that must be signed by the library director or superintendent and returned with the contract. This form certifies that the grantee meets all federal requirements for receiving LSTA funds. In order to receive any reimbursements, this form must be completed.

CIPA Certification

If you are a public library or an elementary or secondary school library in a public school system you will also receive a Children's Internet Protection Act (CIPA) certification form. By checking off the appropriate boxes and signing this form, you assure that you are in compliance with CIPA. This form should be signed by the library director or superintendent and returned with the contract. In order to receive any reimbursements, this form must be completed. For more information about CIPA, go to www.ims.gov and look for "Children's Internet Protection Act."

Chapter 5

Pre-Project Activities

As a grantee, you learn that your project is approved in February or March, but you often cannot begin spending until as late as June or July because of delays in completing your contract. Although this may seem like down time before your project can begin, there are many pre-project activities **not requiring funds** which should be completed during this time.

Some of these pre-project activities may already be listed in your proposal's activities section, or you may want to add them. Some examples include:

- *Reviewing professional selection tools.*
- *Consulting advisory groups.*
- *Making decisions about product selection.*
- *Talking to vendors.*
- *Planning your future programs.*
 - Who will be involved?*
 - Where will programs take place?*
 - When should these begin?*
- *Gathering your pre-project baseline statistics for assessing growth toward objectives.*

Waiting for your contract to be completed and returned may be a frustrating time because you are anxious to spend the funds promised and begin your project. But by using this time to develop your plans further and potentially identify and manage potential barriers before they become larger problems, you better enable yourself to fully achieve your project goals.

Chapter 6

Program & Budget Revisions

Everyone involved wants your project to succeed and knows that achieving success may require modifications to your original plan. While we understand that changes to your plan or budget may become necessary, the State Library must approve any major plan or budget revisions and should be informed at the first sign of any potential problems.

Always contact the State Library at the onset of a problem or change. Never make a decision or obligation that differs from your approved project budget or plan without first seeking appropriate approval. When in doubt, contact us.

Written approval is required for major programmatic or budget change. This means that changes in your programmatic plan from those stated in your original proposal must be submitted in writing to and approved by the State Library before they can be implemented.

Any significant budget revision, such as reallocating funding from one budget category to another, must be approved. Contact the LSTA Grant Consultant for instructions on requesting a budget revision. If approved, the revised budget will replace the old.

The LSTA Grant Consultant must be notified immediately if there is a change in Project Director. Include all new or updated contact information with the notification.

Chapter 7

Reimbursement

All grants are reimbursement grants.

Reimbursement Timeline

Grant spending begins when the contract is complete (*see Chapter 4: Contracts*). **Monies spent before contracts are signed by all parties WILL NOT be reimbursed.**

May 30, 2011

Grant money must then be expended and/or obligated by May 30, 2011. **Funds spent after this date WILL NOT be reimbursed** unless prior approval has been obtained from the State Library.

If you are approaching the final date of the contract (*May 30, 2011*) and have not spent all funds, you may contact the State Library about the possibility of either obligating funds or obtaining a slight extension. To obligate funds and/or obtain an extension, you must acquire approval **prior to May 30, 2011**. If no approval has been made prior to May 30, 2011, the contract ending date is binding *without exception*.

June 30, 2011

All reimbursement requests must be postmarked by June 30, 2011, unless prior approval has been obtained from the Indiana State Library.

Reimbursement Documentation

Reimbursement requests should be made regularly, as you allocate funds, but no more than once a month.

Requests for reimbursement must clearly comply with the approved project budget. Claim forms and invoices are reviewed by the State Library and checked against the project budget to determine approval. Reimbursement claims for expenditures that differ from the approved budget will not be processed if the grantee has not already obtained approval from the Indiana State Library prior to purchase (*see Budget Revision below*). This includes reallocation of funds

from one category to another (*i.e. from personal services to supplies*) and substantial increases in item cost.

To receive reimbursement, grantees will submit documentation of monies paid out, an invoice describing purchases, and a reimbursement form. A blank reimbursement form will be included with the completed contract and is also available on [our webpage](#). According to Appendix II of this manual, the *Indiana State Library Reimbursement & Fiscal Records Policy*:

“A legible copy of a vendor invoice along with proof that funds were already allocated must be submitted with the request for reimbursement for every item purchased. This invoice must include the name of the vendor, invoice number, date, quantity, unit cost, and accurate descriptions of the goods and services.”

To ensure easy processing of your claim, you are also welcome to attach additional documentation demonstrating the relationship between your claim and your project budget.

Claim forms and supporting documentation should be mailed to the LSTA Coordinator, Indiana State Library, 315 West Ohio Street, Indianapolis, IN 46202. **Reimbursement forms must have an original signature. No faxes or electronic copies are accepted.**

Budget Revision

Reimbursement claims for expenditures that differ from the approved budget will not be processed without prior-to-purchase approval from the Indiana State Library. This includes reallocation of funds from one category to another (*i.e. from personal services to supplies*) and substantial increases in item cost. As stated in *Chapter 6*, changes to the original project budget must first be approved by the Indiana State Library. To request a budget revision, you must contact the LSTA Grant Consultant before purchase.

Leftover Funds

If you determine that you will not spend the total amount of the grant, please contact the State Library as soon as possible. Early notification of unexpended funds will allow the Indiana State Library to reallocate those funds into other Indiana projects; otherwise, these funds will be sent back to Washington and will not directly benefit libraries in Indiana.

REIMBURSEMENT CHECKLIST

- Do your invoices list item names/descriptions?
 - Do those item names/descriptions match the item names/description in your project budget?
 - Do your invoices list every item for which you are requesting reimbursement?
 - To eliminate confusion, should you include additional documentation to show how your claim and project budget match?
 - Are there any purchases for which you want reimbursement that aren't explicitly listed on your original project budget?
 - If so**, you should cancel your order and contact the grant consultant immediately to request a budget revision.
 - Are there any significant price increases from the original estimates on your project budget?
 - If so**, you should contact the grant consultant immediately to request a budget revision.
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Chapter 8

Reporting

Six reports are required from all grantees: three quarterly reports, one evaluation progress report, one financial final report and one narrative final report. All report forms are available online on our webpage: <http://www.in.gov/library/lsta.htm>. Completed reports are reviewed by the LSTA Grant Consultant. These reports help the consultant monitor projects, develop an enhanced understanding of the use of LSTA funds in Indiana, and compile an accurate annual report for the federal government. Because of the importance of these reports, failure to submit a report may result in the loss of your grant funding.

Project Number

All reporting forms require your project number. This number can be found in Part 1: *Purpose of this Grant Agreement* on the first page of your grant contract. Your project number is described as *Project #*. **Example:** Project #T09-2-4(64).

Quarterly Progress Reports

Quarterly progress reports are required from all grantees. The quarterly progress report form is available on our webpage. These reports are due in July, November, and February (*see Chapter 3: Timeline*). They are meant to detail your progress, expenditures, successes, evaluation progress, and any problems you may have encountered. Though grantees often have not been able to spend any funds before the first progress report, you are required turn in a report and document your pre-project activities (*see Chapter 5: Pre-Project Activities*).

Evaluation Plan

This is new this year. **The evaluation plan** form is available online and **is due with the final financial report on July 1, 2010**. Project directors should indicate their plan for evaluating the success of implementing the new technology, service, or digitization project. Project directors can refer to their application and reference the ways in which they initially indicated they would evaluate the project and modify from there. For IMLS records, **evaluations should be conducted from the time spending ends until the final narrative report is due on October 1st**.

Final Reports (Narrative & Financial)

The final report has two parts; a narrative form and financial form. Both forms are available online. **The financial final report is due** after spending has ended and should bear a postmark of no later than **July 1, 2010**. This report must be signed and mailed to the LSTA Grant Consultant. **The narrative final report form must be received by October 1st, 2010**. This due date will afford grantees the time necessary to conduct proper evaluation of their new programs and services. This report must be e-mailed to the LSTA Grant Consultant.

The narrative final report should include an evaluation of the project based on the objectives stated in the project application or revised project plan (*see Chapter 6: Revisions*). Both outputs and outcomes should be measured and documented in the final report. Outputs include how much of the products or services were used (*i.e. how many people use new equipment, how many articles digitized, how many staff trained, how many visits to the website*). Outcomes measures changes in the target audience (*i.e. increased information literacy skills, increased awareness of technology, etc*).

The financial final report must match the records we have received for reimbursement. It must document your 10% cash match and the amount of federal funding spent. If you have any questions about completing this form, please contact the LSTA Grant Consultant.

Exemplary Projects

Near the end of the grant cycle, the State Library will send an email soliciting feedback from exemplary projects. If you feel your grant project is successful and can serve as a model for other libraries, please reply to the State Library with a letter detailing the successes you achieved.

Chapter 9

Site Visits

As a part of the oversight of the grant program, the LSTA Grant Consultant, and/or a consultant from the Indiana State Library will make a site visit to some grantee libraries. These visits can occur at any point throughout the grant year. Not all grantees will receive a site visit. At a site visit, the consultant will want to see what has been purchased and discuss the progress of the project. Grantees should be prepared for a site visit by having appropriate documentation and information to answer questions about project accomplishments, changes in project direction, strengths and weakness, and information presented in progress reports. If a site visit is completed, a report will be added to the grantee's file. The grantee will be provided with feedback after the site visit is complete.

Chapter 10

Publicity

Grantees are encouraged to publicize their receipt of an LSTA grant. This can be accomplished through newspaper articles, radio announcements, pamphlets, or other types of handouts. All documented publicity must be mailed to the LSTA Grant Consultant to be added to the grantee's file.

The Institute of Museum and Library Services requires public acknowledgement of the activities it supports. The guidelines for crediting the institute are described below:

PUBLIC EVENTS: At programs or public gatherings related to your award, acknowledge the Institute verbally. Display the logo on event signage.

PRESS EVENTS: At press conferences acknowledge the Institute orally. Acknowledge the IMLS on press kits and in press releases.

PRINTED MATERIALS: Acknowledge the Institute as follows: "*This project is made possible by a grant from the U.S. Institute of Museum and Library Services.*" For posters, use a size for which the words "*Institute of Museum and Library Services*" are legible from a distance.

WEB SITES: Acknowledge the Institute on your Web site.

The IMLS has created a press kit to assist grantees with publicizing the grant award. The press kit contains basic media tips, a sample news release, the IMLS logo and a sample radio public service announcement at <http://www.ims.gov/recipients/communication.shtm>. A sample press release and sample tag line are also included in this handbook as *Appendix I*.

Chapter 11

Contact Information

LSTA Grant Consultant

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Appendix I

Sample Media Release & Tag Line

Media Release:

For Immediate Release

Today's Date

Contact: *(Insert your institution's contact name, telephone number, and email address)*

(insert your institution's name) **Awarded LSTA Grant**

(Insert your institution's city) – (Name of your institution) has received a grant in the amount of (\$) to (describe how your institution will use the grant money for the benefit of your community).

(Insert a quote from your institution's director)

This project is supported by the Institute of Museum and Library Services under the provisions of the Library Services and Technology Act, administered by the Indiana State Library.

The Institute of Museum and Library Services is the primary source of federal support for the nation's 123,000 libraries and 17,500 museums. Its mission is to grow and sustain a "Nation of Learners" because life-long learning is essential to a democratic society and individual success. Through its grant making, convenings, research and publications, the Institute empowers museums and libraries nationwide to provide leadership and services to enhance learning in families and communities, sustain cultural heritage, build twenty-first-century skills, and increase civic participation. To learn more about the Institute, please visit <http://www.ims.gov>.

Tag Line:

"The Institute of Museum and Library Services is the primary source of federal support for the nation's 123,000 libraries and 17,500 museums. The Institute's mission is to create strong libraries and museums that connect people to information and ideas. "

Appendix II

Indiana State Library Reimbursement & Fiscal Records Policy

Reimbursement

- Funds allocated to sub-grantees are available through reimbursement only.
- To receive reimbursement sub-grantees must meet the following standards:
 - Expend funds for items and purposes allowable under federal and state law and federal OMB regulations¹
 - Expend funds for the purposes and items described in the contracted project proposal or approved project revision
 - Expend funds within the contracted time frame (contract finalization to contract end date)
 - Submit reimbursement request forms with appropriate documentation of expenditures
 - Fiscal agent must sign reimbursement requests in blue ink and submit the original
 - Meet all other grantee obligations including the timely submission of required reports
 - Maintain appropriate records of all grant transactions until 2016.
- Sub-grantees who fail to meet any of the aforementioned criteria may be denied reimbursement.

Appropriate Documentation for Reimbursement

Items Purchased (including contracts with individuals for services rendered)

A legible copy of a vendor invoice along with proof that funds were already allocated must be submitted with the request for reimbursement for every item purchased. This invoice must include the name of the vendor, invoice number, date, quantity, unit cost, and accurate descriptions of the goods and services.

Personnel Expenditures

100% LSTA Program Staff

For temporary staff hired to allocate 100% of their time to the LSTA grant program, submit an invoice for the amount paid and a document indicating the name of the individual, the number of hours worked, the pay rate, and the total amount of LSTA funds reimbursement requested.

¹ Public Libraries should refer to 2 CFR 230 http://www.whitehouse.gov/omb/fedreg/2005/083105_a21.pdf; academic and school libraries should refer to 2 CFR 220 http://www.whitehouse.gov/omb/fedreg/2005/083105_a21.pdf.

Part Time Staff Working on LSTA Projects

For part-time staff given additional work hours to devote to the LSTA grant program, only the time spent on the LSTA grant program can be paid with LSTA funds. The sub-grantee is required to keep a log or timesheet for that individual that records the hours per pay period that the staff member worked on the LSTA grant program and the hours per pay period that they worked on other projects.

An invoice for the amount paid and a document indicating the name of the individual, the number of hours they worked on the LSTA project, the pay rate for the LSTA project, and the total amount of LSTA funds requested should be submitted with the reimbursement request. In addition, a confirmation, signed by the fiscal agent, that LSTA funds and salary were not earned at the same time and that the proper amount of hours were allocated to the LSTA project should be attached.

Record Maintenance

A copy of all records documenting account expenditures, reimbursements, and cash match should be maintained in a grant program file at your library until 2015.

Local Matching Funds Records

LSTA sub-grants require a local match equal to at least 10% of your LSTA award. Local match can be made up of both cash and in-kind contributions made by the library and outside sources. (In-kind contributions are defined as goods, commodities, or services instead of money contributed to the project by the library or other sources.)

Program records must be maintained for your required local match. Please maintain invoices for items purchased as part of your cash match in your program file. This invoice must include the name of the vendor, invoice number, date, quantity, unit cost, and accurate descriptions of the goods and services.

To document local cash spent to hire temporary staff allocating 100% of their time toward the LSTA project, please maintain records of the number of hours worked, amount earned per hour, and total paid out. To document local cash spent to add hours for part-time employees to devote to the LSTA project, please maintain records of the numbers of hours devoted to LSTA, the amount earned per hour, and the total paid out.

Public libraries documenting the in-kind contribution of full-time staff allocating a portion of their time to the LSTA project should maintain records of the hourly pay rate and the number of hours worked on the LSTA project in a log or timesheet, along with a signed statement by the fiscal agent verifying that the time allocations are accurate. Academic and school libraries documenting the in-kind contributions of full-time staff allocating a portion of their time to the LSTA project should maintain records of the annual salary and percentage of time worked on the LSTA project, along with a signed statement by the fiscal agent verifying that the time allocations are accurate.