

FINISHED FILE
ENHANCEMENT GRANT ACCOUNTABILITY PAPERWORK (BUDGETS AND
PERFORMANCE MEASURES) WEBINAR 2
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>> SANDRA TORO: Good afternoon. My name is Sandra Toro and we would like to thank you for joining us for the Native American Library Services Enhancement Grant Accountability webinar. And this webinar is being recorded. A link will be sent to everyone who joins us today. All participants are muted, but if you run into any issues, please type your question in the chat box. Today we will talk a little bit but Native American Library Services Enhancement Grant program including application and reporting, but our main goal is to help you understand how to fill out the budget form and answer any form and answer any performance-related questions that you have.

We will start looking at the application. The Native American Library Services Enhancement Grants are competitive grants for up to two years and up to \$150,000. You need to have applied for a basic grant in order to be eligible to apply for an enhancement grant. As I'm sure you know, the basic grant deadline is April 2nd. Cost share is not required, and Indian tribes are eligible to apply for funding under the Native American Library Services Enhancement Grant program, but entities like libraries, schools, tribal colleges, departments of education are not eligible, although they can be involved in

the administration of a project, and staff may serve as project directors in partnership with eligible applicants.

And by Indian tribe, we mean any tribe, band, nation or organized group or community including any Alaska native village, regional corporation or village corporation which is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. To be eligible for this program, you must have an existing library with regularly scheduled hours, staff and materials available for library users and the applying institution must be the tribe itself. If you are in the eligible institution, we do encourage you to partner with the tribe and while you can't be a lead applicant, you can still receive funding. You can find the notice of funding opportunity on the awarded grant search, information on cost shares if you do want to include it and the forms necessary to complete the application including the budget form and the program information sheet which we will focus on today.

I will make a note that IMLS does have a new strategic plan, but this particular NOFO is still tied to the prior strategic plan. As with the basic grant, the notice of funding includes a table that has all of the application components, what kind of format they need to be submitted in and which file name to use when submitting the application package. So use this list as a checklist of all of the documents you need to submit on May 1st. You want to make sure your application is complete so that it's not rejected simply because you missed or forgot one document.

Remember, IMLS has become more strict than in years past about having to make sure each application includes all of the necessary documentation, and we want to be able to make exceptions and like with the basic grants, all of your documents must be PDFs or converted to PDFs before you upload them into grants.gov. As I mentioned during our general application webinar, please be sure you include the application cover form or SF424S, an abstract, program information sheet, organizational profile, narrative that's no longer than 8 pages, a schedule of completion, IMLS budget form, budget justification, list of key project staff and consultants, and the resumes of those key project staff and consultants.

Proof of non-profit status and your federally negotiated and direct cost rate agreement if you plan to use one are conditionally required. So if you have had a federally negotiated indirect cost rate in the past but it's expired, you can't use the de minimis rate of 10%. You either have to have a current rate or you can't use an incorrect rate at all. A reminder if you are creating any kind of digital product, you

must submit the digital product form which is also considered a conditionally required form. That means it's required if any funds are being used to create any kind of digital product, like a website or digital histories.

So a refresher for anyone who joined for the general application webinar and an important update for those that weren't able to, in addition to including all of the regular application components, successful enhancement grant proposals will align with one of three new project categories, preservation and revitalization, educational programming and digital services. I went over each of these categories in the general application webinar, which is now archived on our website under events and webinars. It's important to note that you should make sure your project aligns with one of these categories, and that you should state your selective project category in both your proposal abstract and the narrative. Something else you should be aware of is that IMLS has policies that a tribe can have only one enhancement grant at a time.

So if your current enhancement grant is ending in September or October, please make sure your start date is in December. An overlapping period of performance will cause your application to get rejected and then you will have to appeal. As you know under your basic grant application, there are three places where you must register your organization in order to be able to submit a proposal, DUNS, SAM and grants.gov. We don't have any role over how or whether materials are reviewed or processed. You need to get a DUNS number, register your tribe with SAM and create a grants.gov account. Your SAM is only good for one year. Allow at least two weeks for the registration process. And now I will turn it over to Madison who will talk about the budget.

>> Good afternoon, everybody! We are going to start off first by looking at the budget form. This is the standard IMLS budget form and it should be familiar to those of you who have had enhancement grants in past years. It accommodates up to three years of project activities and expenses, but for this program, awards are only one or two years long. So make sure you put information in the year one or year two column only. These columns should include costs for all of the activities that begin on the project start date as listed on 60 on the SS424 and end either 12 or 24 months later.

The budget should include the project costs that will be charged to the grant funds. If you don't have any costs for a particular section, just put zero. If you have no cost share, you could ignore that column as well. If you need more lines for a specific section, you can summarize the information on the budget form and explain it further in your budget justification

which can be as many pages as you like. The budget should include the project costs that will be charged to the grant funds as well as though supported by cost sharing if you have any. We have had issues that applicants can't meet their cost share by the end of the award period and have to have what we call a cost share waiver. This is a problem. So please do not promise large amounts of cost share that you won't be able to meet. Include only what you know can be provided as cost share or a match by your tribe.

Cost sharing which can also be known as in kind or matching may include the value of services such as donated volunteer or consultant time or equipment donated to the project between the start and end dates of the award. Now, all of the items listed, whether supported by grant funds or cost share, must be necessary to accomplish the project objective as well as allowable according to the applicable funding federal cost principles, auditable and incurred during the period of performance. Charges to the project for items such as salaries, fringe benefits, travel and contractual services must conform to the written policies and established practices of your organization. You must report any revenue that you generate with project funds as program income.

If you need more lines for a specific section, summarize the information in the IMLS budget form and explain further in your budget justification. You don't see the sections on the form here on the slide, but they include salaries and wages, fringe benefits, travel, supplies, materials and equipment, contracts and sub awards, student support, other costs, and then those total into total direct cost. You will want to have a section for indirect costs and those two sections total into total project costs.

Now, we hear from applicants and I have experienced myself that sometimes you have to type all of the information into the form first before you can save or else the totals won't add up correctly. It's really frustrating and can take a lot of time, so please keep this in mind when filling out the budget form. In terms of allowable cost for your project, the allowable costs are listed on the cost principle found in 2CFR part 200 and CFR part 3187. In general allowable costs include personnel salaries, wages and fringe benefits, travel expenses for key project, staff and consultants, material supply software and equipment related to project activities, third party costs, publication design and printing, staff and volunteer training, internship and indirect or overhead costs. You could see the full set of rules at CFR200, but there are big things to note in terms of unallowable costs.

Fundraising, acquisitions to collections, general

advertising, collection and social activities are included as unallowable costs. We cannot fund things like pizza parties for students or refreshment breaks for staff. If you are serving food, it must be during a project activity even if it means serving lunch during a Power Point presentation. If you have questions about the allowability of specific activities, you can call or email us for guidance. Now, we are going to go onto reporting. We want to give you a sense of what you can expect once you receive your award and why it's important to think about reporting and accountability now rather than later.

Once you receive your award, you will have five basic responsibilities as an IMLS grantee. First of these is to carry out project activities that you described in your narrative. The second is to adhere to the award terms and conditions including requesting approval for changes, following federal regulations and acknowledging IMLS support. The third responsibility is submitting reports on time and using correct forms. The fourth, you must let us know if there are any significant or relevant programmatic, administrative or financial problems that arise during the course of your project, and fifth, you must maintain documentation.

All of the information about the terms and conditions and the forms needed for reporting are found on the IMLS website, WWW.IMLS.gov. When you go to the home page, you will see at the top a tab marked grants with a sub manager called manager award. This section of the website is all for you. You will find here three PDFs, I think there is actually 4 PDFs. First is terms and conditions MLS discretionary grants and cooperative agreement awards made after March 2017. The other two are general terms and conditions for awards made in previous years. Please make sure you refer to correct terms and conditions. Again, make sure you are looking at the correct terms and conditions.

You will receive a copy of the budget that is officially approved by your program officer when you receive the reward. This along with your library project narrative is your blueprint for your project together with any changes. The authorized official for the award will have to send Sandy an email requesting the change, explaining why the change is needed and attach a revised budget form so she can review it and compare it to the older budget. Common changes we have to do is replacing people and asking for time to finish activities. You will have to email us regarding changes, but you will get more information about this once you receive your award. There are other changes that require pre-approval and we did mention before about the 2CFR200. And within those regulations, there are a series of changes that need pre-approval by your IMLS program officer

before you can carry them out. Remember that IMLS will generally not provide any more funds for your grant. When requesting approval for budget revisions, you will use the same format for budget information you will use now for your application. A crucial part about staying on track for budget is drawing down funds.

When you receive your IMLS, grant the funds are not automatically disbursed to you. You will need to request them requesting the SF270 form shown here. It is a scary looking form, but it's actually not hard to fill out and we have guidelines for filling them out on our website. In terms of tips for requesting payment, here on the slide are different ways to fill it out. When you receive the award we will provide information about how to get your money. I will hand it back to Sandy for performance measures and reporting.

>> SANDRA TORO: So in general, all of your budget and other changes will be documented when you submit your interim and final reports, and reporting in general provides transparency and accountability for grantees as well as informs us and elected officials how the funds are being used and what's successful. We take the information you give us, and we evaluate it for effectiveness. Then we make changes so that programs are better and focused more on what's needed. Finally, reporting provides project examples to other grantees and potential politic agents on the kinds of projects that can be done within our programs.

You can find the required reporting forms on that same grants administration page that Madison referenced. We have arranged the page chronologically so that the instructions and forms for interim reports come first followed by the final reports and you can use the links at the top of the page to click on the report type you are looking for. Reports are submitted annually with final reports due 90 days after the end of the award, and you will have your reporting schedule on your official award notification document. An important note is that if a grantee has a delinquent report, no reimbursements can be processed, and no grants can be made to organizations with delinquent reports. And an organization can even become ineligible for future federal awards.

Also, please remember to include your grant number in the subject line as it keeps it out of our spam mailbox. Along with your financial report, your narrative report will document your project successes and challenges as well as any changes, like no cost extensions or budget changes, anything that occurred with or without IMLS approval. The final report should focus on outcomes and performance measures which we will talk about in a little bit. To get started, though, it's helpful to think about

performance measures within the broader context of evaluation. Before I dive into what performance measures are and how you need to make use of them, I want to point out that on the website, you will find a page devoted to resource and evaluation. There are a number of web links you can click on to help you think about which kind of evaluation approach you might want to take for your project.

Now, the reason I bring this up is performance measures which you will have to address on your program information sheet have to do with gathering information or data that addresses how your project meets any goals presented in your narrative. And all of this falls within the area of evaluation. So, for example, in evaluation resources, if you scroll down, you will find a section on project planning tools for museum and library services, and this section has links to other sites that focus on outcome-based evaluation, the inspiring learning framework, a framework for broadening the impact of outreach efforts and others. There is also a section on common evaluation methods and terms from the Harvard family research project.

In this case we have pulled out key terms and brief descriptions of them that might be helpful for you to get an overall view of different approaches to gathering information that can help you figure out if you are meeting your goals. So, for example, if you are including educational workshops for families in your narrative, how will you know what the family members are taking away from their experiences during the workshop. We don't require one kind of evaluation or in many cases that you actually hire an external or outside evaluator, but we do require in most cases that you have an evaluation plan, and performance measures. Again, it's helpful to think about performance measures within that bigger picture of evaluation.

So as of the 2016 fiscal year, IMLS has been required to report back to the Office of Management and Budget the results of projects that we funded, and because we fund so many different kinds of libraries and museums to do a variety of research and programming, this was a huge challenge for us. We needed a way to show results across all of our programs for both libraries and museums.

So an internal team of IMLS staff came up with a basic performance measures requirement that could be used by all awardees regardless of type of institution, type of program, or even project type an up next blog post first introduced the idea of performance measures to applicants back in 2015. The link is on the bottom of the slide. You can read in this post all projects by IMLS are now required to measure performance. And this is both for your basic grant and your enhancement grant.

And as I mentioned earlier, by measuring performance, we mean gathering information or data that addresses how well your project meets any goals presented in your proposal for funding.

So the next few slides I'm just going to walk you through what that looks like for you as an applicant. This is the IMLS program information sheet which is a required component of your application. And the program information sheet is linked from every notice of funding opportunity. Make sure that you are using the correct version of the PIS and on this sheet, you have to select one agency-level goal and one performance goal. So if you look at question number 4 on the program information sheet, this is where you pick one goal.

Here you can see that there are three areas that you can choose from. The first is learning, the second is community, and the third is content and collections. So pick one, and you have to talk about this goal in your project narrative. I will I'll be checking your narrative to make sure you have addressed a performance goal and you may be asked to revise your narrative if you see a performance goal has not been addressed. So as you work through your project once you have received your award, you should revisit your narrative and the goal you picked out originally to make sure you are addressing it as you described. For projects that have to do with learning or community, we provide a link to specific performance measure statements and information on our website. And the next time that you will be officially required to address your goal is when you submit your final report.

This is the page on our website where you can find the final report requirements and as you can see here where it says all other discretionary programs and underneath is the actual link to the form. At this time, we don't expect the form to change, but within the form is where you will see guidance about talking about what you did for your performance measures. So here is a sample of what that guidance looks like.

And how you can think about describing activities that you had originally proposed, which ones were actually completed, if there were any changes, and what those changes look like. We don't have any guidance for basic grants, so you will see the same guidance for all grants. And this is important to think about since you have both a basic grant and enhancement grant to consider so, again, for learning and community projects, you pick one of the statements that are available, and then you can refer to your narrative that you are submitting now with your application, and record the performance measure statement in the first column.

In the survey respondent column, you can specify from whom the survey results were obtained, if they were project

participant like family members or staff members, or if they were community partners, then for each performance measure statement, record the number of participants, the total number of responses, the number of responses per answer and the number of non-responses. And you can have one line of information for each performance measure statement.

In general, how do you know what to include in terms of performance measures? Well, you should include specific and sufficient resources in your application that are dedicated to evaluation activities and that's in your project design, budget and schedule of completion. Relevant costs can include payments for consultants or staff time that you need to develop tools and instruments like surveys and also staff time for collection and analyzing of data. You want to include the cost of evaluation, the cost of reporting, and also sharing any results within your budget.

You can budget any of these costs as grant funds or cost share, and keep in mind that effective evaluation strategies often use multiple techniques, not just to measure and analyze the outputs and outcomes, but to inform and help shape and share your project design as the project progresses. So your evaluation plan should clearly link the agency level goal, one of those three that we mentioned, and the performance goals identified in your application as well as the performance measure statement and the project level results.

Remember, your applications must be submitted by May 1st. You should hear back in August or September when you receive your official award notification and your award period will begin on October 1st. So we are now opening the webinar to any questions and here is our contact information.

>> All right, we don't have any questions, so we are going to end the webinar here, but we encourage you to reach out to us. You have this last slide; our email addresses and our phone numbers so please feel free to contact us. We are willing and able to look at drafts of your narrative so please feel free to share those with us and we can give you verbal feedback. Thank you and best of luck!

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