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NATIVE HAWAIIAN GRANT ACCOUNTABILITY PAPERWORK (BUDGETS AND PERFORMANCE MEASURES) WEBINAR 1
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>> SANDRA TORO: The deadline is May 1st, before midnight. The grant awards are for up to $150,000, subject to the availability of funds and IMLS discretion, and cost share is not required. Now, Native Hawaiian library services grants are available to nonprofit organizations that primarily serve and represent Native Hawaiians and the term refers to an individual who is a citizen of the United States and descendant of the aboriginal people who before 1778 operated in an area that now comprises of the state of Hawaii. So please note that a grantee with an active Native Hawaiian grant may not apply for another Native Hawaiian grant that would have an overlapping period of performance with the active grant. So, if your current grant is ending in October or November, make sure your start date is in December because an overlapping period of performance will cause your application to get rejected.

You can find the notice of funding opportunity on our website. Here is the link, and make sure to read the NOFO or notice of funding opportunity carefully and follow all of the links. The links will take you to the strategic plan, the awarded grant search, and the forms that are necessary to complete the application, including the IMLS budget form and the program information sheet, which are forms we'll discuss today.

Again, the deadline is May 1st.

The notice of funding opportunity includes a table that has all the application components, what kind of form they need to be submitted as and which file name to use when you're submitting your application package. Use this list as a checklist of all the documents you'll 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. Please remember that IMLS has become more strict than in years past about our having to make sure each application includes all the necessary documentation and we won't be able to make exceptions.

So, please make sure that you include the application cover form, an abstract, the IMLS program information sheet, your organizational profile, a narrative that's no longer than eight pages, a schedule of completion, you can have one page per year, the IMLS budget form, a budget justification, a list of key project staff and consultants, the resumes of everyone who is on the list of key project staff, and all of these documents must be saved and submitted in PDF format.

Proof of nonprofit status and your federally negotiated indirect cost rate agreement, if you plan to use one, are consistently required. If you have -- conditionally required. If you've had a federally negotiated indirect cost rate in the past but it's expired, you can't use the de minimis rate of 10 percent. You either have to have a current rate or you can't use an indirect rate at all. And a reminder, if you're creating any kind of digital product, you must submit the digital product form which is also considered a conditionally required form. And conditionally required just means it is required if any funds are being used to create any kind of digital product like a website or digital histories.

An important change to this year's notice of funding opportunity is that in addition to including all of the required application components, successful proposal will align with one of three new project categories.

And these are, preservation and revitalization, educational programming, and digital services.

You should state your selected category in both your proposal abstract and the narratives. So as you know from previous grants if you applied before, there are three places where you must register your organization in order to be able to submit a proposal. D-U-N-S, SAM, and grants.gov. All three systems are external to IMLS and we don't have any control over how or when your materials are reviewed or processed. You need to get a D-U-N-S number, register your organization with SAM and create a grants.gov account and it's important to know that your SAM registration is good for only one year and must be renewed. Grants.gov is the portal through which you submit your application and you should allow at least two weeks through the registration process, and now I'll pass it to Madison, who will talk about the budget.

>> MADISON BOWLES: Good afternoon, everyone. My name is Madison Bowles. I'm here to talk about the budget. Here is the standard IMLS budget form and should be familiar to those of you who have had a grant in the past years. It accommodates up to three years project activities and expenses. So make sure you put information in year 1 or year 2 columns only.

These columns should include cost for all the activity that begin on the project start date listed on the SF424 and either in 12 or 24 months later. The budget should include the project costs that will be charged the grant funds. If you don't have any cost for a particular section, then you put in zero. If you have no cost share, you can ignore that column, and if you need more lines for a specific section, can you summarize the information on the budget form and explain in fudge detail in your budget justification, which can be as many pages as you like. Now, the budget should include the project cost that would be charged to the grant funds as well as those that will be supported by cost sharing, if you have any. Over the past few years, we've had issues with applicants that promise large cost share amounts and then they can't meet their cost share by the end of the award period, and then we would have to request 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 think can be provided as cost share or match by your organization. Cost sharing, which also can be known as in kind or matching may include the value of services, include donated or volunteer consultant time or equipment donated to the project between the start and end dates of the award. All of the items listed whether supported by grant funds or cost share must be necessary to accomplish the project objectives. They also must be allowable according to the applicable federal cost principles, auditable, and incurred during the award 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 practice of your organization. You must report any revenue that you generate with project funds during the award period of performance as program income. Again, if you need more lines for a specific section, summarize the information in the IMLS budget form and then explain it further in your budget just fiction.

Now, you don't see them here in this screen shot but the categories on the form include salaries and wages, fringe benefits, travel, supplies, materials, and equipment, contracts and subawards, student support, other costs, and those total, all those columns total into a total direct cost. And then there's indirect cost, and from that, it totals into total project cost.

Now, we hear from applicants that sometimes you have to type in all the information in the form first before you save it or else the totals won't add up correctly. And we know that's really frustrating and can take a lot of time, so please keep that in mind.

In terms of allowable costs, those are listed in the 2CFR, but in general include wages, travel material for key staff, materials, software, and equipment related to the project activities, equipment to improve collections storage and exhibit environments, third-party costs, publication design and printing, staff and volunteer training, internship and fellowships, and indirect or overhead costs.

Unallowable costs. Now, again, to see the full set of rules, you go to 2CFR200, but the big things to note here are fundraising, acquisitions to collections, general advertising, construction, and social activities. We cannot fund things like pizza parties for students or refreshment breaks for staff, but if you are serving food, it must be served during a project activity even if it means serving lunch during a PowerPoint presentation.

If you have questions about the allowability of specific activities, you can call or email us for guidance.

Now, we're on to reporting. We wanted to give you a sense of what you should 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. The first of these is to carry out the project activities as you describe in your plan. The second is to adhere to the award terms and conditions, including requesting approval for changes, following federal regulations and acknowledging IMLS report. The third responsibility is submitting reports on time using the correct forms, and fourth, you must let us know if there are any significant and relevant programatic, administrative, or financial problems that arise during your project. This can be during a phone call or email to your program officer, in which case, your program officer will be Sandy Toro. And fifth, you must maintain documentation. Your budget can help you do this.

Now, you can find all of this information on our website,www.IMLS.gov. Now, when you go to the home page, you'll see at the top, a tab marked Grants with the subheading called Manager Award. -- Manage Your Award. This is where you'll find information about your terms and conditions and report. Here, you see a screen shot of that grants administration page. At the top, just under Getting Started, you'll see the terms and conditions for IMLS discretionary awards. You want to make sure you're looking at the correct terms and conditions according to the year your award was made, which is on your award document. This does not mean the date your project started which is a different date. It's the date your award was made. So, it will be before your start date. So, for this screen shot, specifically here, it will be for all awards that were made after March 1st, 2017, for example.

Now, you will receive a copy of the budget that is officially approved by your IMLS program officer when you receive your award. This, along with your library project narrative is your blueprint for your project. Any changes to the budget that exceed 10 percent of the total amount need to be approved by your program officer in advance of the changes being made. 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 that she can review it.

Some changes we see have to do with replacing people and asking for more time to finish activities. You'll have to email us regarding these changes but you'll get more information about this once you receive your award. Now, there are other changes that require preapproval. We mentioned 2CFR200 earlier, and within those regulations, there are a series of changes that need to be preapproved by your program officer before you can carry them out. Just remember that IMLS will generally not provide any more funds to your grant. When requesting approval for budget revisions, you will use the same form for budgets that you use now for your application so the general things that need preapproval are listed out in this slide. Now we're on to performance measures and reporting. In general, all your budget changes will be documented when you submit interim and final reports. Reporting in general provides transparency and accountability for grantees as well as it informs IMLS and elected officials how the funds are being used and what is successful. We take the information you give us and evaluate it for effectiveness and then make changes to our programs so that they are better and more focused on what is needed in the field. Finally, reporting provides project examples to other grantees and applicants on what kind of projects can be done within our program.

For reporting information, you can find this also on that grants administration page on our website. We've arranged the page chronologically, so, for the instructions and forms for interim reports comes first, and then followed by final reports. You can use the links at the top of the page to click on the report type that you're looking for. Now, reports are submitted annually are final reports due 90 days after the end of the award. You have your reporting schedule on your award notification that you'll receive from your program officer and one thing to say about delinquent report, if a grantee has delinquent report, no new grants will be made to that organization that has the delinquent report. It could get to the point where an organization may become ineligible for any future awards at IMLS so please remember to submit your reports on time and you'll be submitting them to IMLSreporting.gov and you'll want to include the log number of your grant in the subject line of the email.

For performance reporting, your narrative will document your project's successes and challenges as well as make changes such as no cost extensions, bucket amendments and anything that occurred with or without IMLS approval. The final report should focus on outcomes and performance measures, which we will now talk about. I'm going to pass it back to Sandy, who is going to talk about these reporting in the context of evaluation.

>> SANDRA TORO: Thank you, Madison. So, to get started, it's helpful to think about performance measures within the context of evaluation. And before I dive into what the performance measures are and how you need to make use of them, I want to point out that on our website, you'll also find a page devoted to research and evaluation. In the evaluation resources section, there are a number of web links that you can click on that it help you think about which kind of evaluation approach you might want to take for your project. So, the reason I bring this up is that performance measures, which have to do with gathering information or data that address how well your project meets any goals presented in your narrative, falls within the area of evaluation. For example, in evaluation resources, if you scroll down, you'll find a section on project planning tools for museum and library services. 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's also a section on common evaluation methods and terms from the Harvard Family Research Project. In this case, we've 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're meeting your goals. For example, if you're 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? Will you ask them some questions as they're leaving? Or will you take notes about your observations, about how parents and children work together during the workshop?

It's important to keep in mind that at IMLS, we're not prescriptive. We don't require one particular 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 fortunately Native Hawaiian grants we do require that you address performance measures. Again, it's helpful to think about performance measures within that broader context 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 the projects we fund. Because we fund so many different kinds of libraries and museums, to do a variety type of research and programming, this was an incredible challenge. So we needed a way to show results across all of our programs for both libraries and museums, that could be used by all awardees regardless of institution, program, or project type. A blog post by Connie Bodner in the Office Of Museum Services first introduced that to in 2016. As you can read, all projects funded by IMLS are now required to measure performance. This is new for mine grants as of last year, but -- Hawaiian grants as of last year, but it is required. And as I mentioned earlier, by measuring performance, we mean the gathering of information or data that addresses how well your project meets any goals presented in your narrative. In the next few slides, I'll walk you a little bit through what that looks like for you as an applicant. So this is the IMLS program information sheet, or the PIS, and the PIS is linked to every notice of funding opportunity. This is one of the required documents for you to have a complete grant application, so make sure that you're using the correct version of the PIS and on this sheet, you have to select one agency-level goal and one performance goal.

So, this is question 4 from the PIS and it says, select one of the following three IMLS agency-level goals, learning, community, or content and collections. Then, select at least one of the performance goals listed beneath it. So, for learning, you choose train and develop, or develop community opportunities, or you can go with community and the only option there is strengthen museums and libraries as essential partners in addressing the needs of the community. Or you can choose content and checks. The choices are broaden access and expand use of the nation's content and collections, improve management of the nation's content and collections, or improve preservation, conservation and care of the nation's content and collections.

Now, you might be aware that we have a new strategic plan as of 2018, but for this notice of funding opportunity, you should stick with the agency-level goals that are listed on the program information sheet. So once you pick a goal, the goal needs to be addressed in your project narrative. We'll be checking the narrative to make sure you've addressed a performance goal and you may be asked to revise your narrative if we see that a performance goal hasn't been addressed. So, as you work through your project over the next year or two, you should revisit your narrative and the goal you pick to make sure you're addressing it as you originally described.

For projects that have to do with learning or community, the first or the second, you provide a link specific measure statement and information on our website. So, you can read through that guidance, and here is an example for you to see. And when you pick the goal, you have to think about, again, for example, if you're working with families, are you going to ask them questions at the end of their participation in a program, or are you going to do observations? You know, how are you going to figure out that their knowledge has increased or their confidence has increased, and how will you demonstrate that to IMLS?

The next time after you submit your application that you'll be required to address this is when you submit your final report.

So, this is the page on our website when you can found the final report requirements, and you can see here where it says all other discretionary programs, that's where you can find the link to the final report form. At this time, we don't expect the form to change. When you're working on your final report, you can, again, use the guidance that's available for performance on final reports to help you describe which activities were proposed, which activities were completed, and if there were any changes, what did those changes look like n? Again, we have these links available to you. You'll get them in the recording, but if you have any questions, please feel free to reach out to us for help. In terms of thinking about those results and how to describe them, you can refer to your narrative you're submitting now with your application and then record the performance measures statement in a table like this, you would put that in the first column. If you used a survey, you can specify who got the survey.

Was it project participants? Was thank you and your staff? Was it a community partner? Then for each performance measure statement that you have, you record the number of people who answer the survey, the total number of responses that you got from them, the number of responses per answer, and the number of nonresponses. So you can have one line of information for each performance measure statement. So far, we've seen that people usually just pick one. So, in general, how do you know what to include in terms of performance measures? You should include specific and sufficient resources dedicated to evaluation activities in your project design, in your budget, and in your schedule of completion. Relevant costs can include payments for consultants or staff, staff time for development of effective instruments and tools, staff time for collecting information, and staff time for analyzing project data. So, include these costs for evaluation for reporting, and even for sharing your project results in your project budget. You may budget any of these costs as grant funds or as cost share if you want to include cost share. Keep in mind that effective evaluation strategies often use multiple techniques. For example, collecting survey data and doing observations, not just to measure and analyze outputs and outcomes, but also to inform and help share your project design as the project progresses.

So, your evaluation plan should include that agency level goal, the performance goal, identified in your application, your proportion measure statement, and then finally, your project level results that you intend to measure within the project that you're proposing as an applicant. So, remember that your applications must be submitted by May 1st and you should hear back from us in August or September when you'll receive your official award notification. Your award period should begin October 1st.

So, now we'll open it up to questions. If you have any questions, please type them into the chat box, and we'll do our best to try to answer them. Okay. We're not seeing any questions, but please get in touch with us. You have here our email addresses and our phone numbers. I'm happy to look at a draft of a project narrative if you want to share it with me. I can also help you think about evaluation if you're interested. I just ask for at least a few days before the deadline so I can have a chance to read through the draft before I give you feedback.

But, thank you very much for joining us, and I see someone is typing. We'll give you a second. Okay. So, thank you, and please take care, and we look forward to receiving your applications. Bye.

(Session was concluded at 2:33 PM CT)