Tennessee Public Library Grant Handbook

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Introduction

Congratulations on your new grant! We at the Tennessee State Library & Archives look forward to seeing what wonderful things you will accomplish for you and your community. This document has been created to help navigate how to work with your grant in order for the process to be successful for you. Our goal is to work with you and your funds to ensure that the process is handled so that you are successful with the minimum amount of difficulty.

Types of Grants

The Library & Archives provides several annual grants. These grants include:

<u>Construction grants</u>

  Construction grants are typically a 5 year grant and are funded with state funds, have a maximum grant award of $100,000.00, and require a prerequisite amount to be spent prior to the grant funds that is equal to the award. Only public libraries are eligible for construction grants; however other entities can apply for the public library such as a local funding body.

<u>Materials for the Disadvantaged grants</u>

  Materials for the Disadvantaged grants span from July 1st to May 31st each year and are funded with both state and federal funds. These grants are specifically for the purchase of materials, and are only eligible to the 4 metro libraries.

<u>Technology grants</u>

  Technology grants span from October 1st to April 30th each fiscal year and are funded typically with federal funds, but can include state funds when available. There is a maximum grant award of $20,000.00 and requires a match equal to the award. This is typically called a 50/50 match. Only public libraries are eligible for technology grants; however other entities can apply for the public library such as a Friends group or foundation.

There are also one-time grants, such as the Library Technology Training (LTT) grant, or the Science, Technology, Engineering and Math (STEM) grants, as funds are available. Each one-time grant will have its own start and end dates, funding, and other criteria.

For other grants that are not limited to public libraries, such as Archival grants, please refer to the Archives Grants Handbook.

Contracts

For each grant, there will be a corresponding contract. This is the legally binding document between your entity and the Library and Archives and allows us to process payments as part of the grant. It is recommended that you read your contract for each grant in order to fully understand your responsibilities towards the grant. There are several parts to any given contract:

Contract Term Dates

Each grant has a different start and end date. Your grant contract will specify in several locations the start and end of your grant cycle, specifically on the front summary page, in Section B, and also in Attachment One. For example, the Technology Grants start on October 1st of each year, and end on April 30th of the following year. What these dates signify are the dates that you have to encumber your grant funds.

GOVERNMENTAL GRANT CONTRACT
(cost reimbursement grant contract with a federal or Tennessee local governmental entity or their agents and instrumentalities)

Begin Date	End Date	Agency Tracking #	Edison ID
10/01/2017	04/30/2018	30501-00118-06	

Example of the begin date and end date on a contract

Scope of Service

The scope of service (Section A) is what defines what the grant is and sets the stage for what can and cannot be purchased. The wording may not be specific, in order to allow the entity to have some flexibility in purchasing. However, it is recommended that you remain in contact with your grant monitor regarding purchases to ensure that what you are considering is indeed eligible.

Term of Contract

Section B defines how long the grant lasts. It is a repeat of the Contract Term Dates above but are written out differently. In this section, the start date is specified and then the number of months the grant will be active.

B.   **TERM OF CONTRACT:**

This Grant Contract shall be effective on October 1, 2017 ("Effective Date") and extend for a period of seven (7) months after the Effective Date ("Term"). The State shall have no obligation to the Grantee for fulfillment of the Scope outside the Term.

Example of the Term of Contract

Payment Terms and Conditions

Section C defines the amount of the grant, whether there is a local match included, and how to send in invoices for payment. This section also allows or disallows a budget line-item variance, which allows the grantee the ability to move a percentage of grant funds from one existing line item to another, from 1% up to 20%. More information on line items is below in Grant Budget.

Signatures

Contracts from the Library & Archives are mailed to each grantee. When you receive your contract, please review it, sign the original contract that was mailed to you and mail it back via postal mail. For contracts to public libraries, library staff cannot sign the contract. It needs to be a library board chair, vice-chair or someone with fiscal authority, or the city/county mayor or financial officer. Please sign your contract in a timely manner and return to the grant project manager as soon as possible.

Grant Budget

Each contract has a grant budget in Attachment One that specifies what the grant funds can be spent on.

GRANT BUDGET			
Sample Library			
The Grant Budget line-item amounts below shall be applicable only to expenses incurred during the following applicable period:			
BEGIN: January 1, 20XX		**END: December 31, 20XX**	
POLICY 03 Object Line-item Reference	**EXPENSE OBJECT LINE-ITEM CATEGORY** [1]	**GRANT CONTRACT**	**GRANTEE MATCH**	**TOTAL PROJECT**
1. 2	Salaries, Benefits & Taxes	0.00	0.00	0.00
4, 15	Professional Fee, Grant & Award [2]	600.00	0.00	600.00
5, 6, 7, 8, 9, 10	Supplies, Telephone, Postage & Shipping, Occupancy, Equipment Rental & Maintenance, Printing & Publications	1600.00	400.00	2000.00
11. 12	Travel, Conferences & Meetings	0.00	0.00	0.00
13	Interest [2]	0.00	0.00	0.00
14	Insurance	0.00	0.00	0.00
16	Specific Assistance To Individuals	0.00	0.00	0.00
17	Depreciation [2]	0.00	0.00	0.00
18	Other Non-Personnel [2]	0.00	0.00	0.00
20	Capital Purchase [2]	0.00	0.00	0.00
22	Indirect Cost	0.00	0.00	0.00
24	In-Kind Expense	0.00	0.00	0.00
n/a	Grantee Match Requirement (for any amount of the required Grantee Match that is not specifically delineated by budget line-items above)	0.00	0.00	0.00
25	**GRAND TOTAL**	**2200.00**	**400.00**	**2600.00**

For example, in the table above, this grant has been funded for a professional fee, which can be to pay trainers for computer classes, and there is no match associated with this particular line item, so the reimbursement will be the total of each eligible invoice until the total of that line item is reached.

You will notice that the grant has also been funded for Supplies, Telephone, Postage & Shipping, Occupancy, Equipment Rental & Maintenance, Printing & Publishing. For this grant, Supplies is referring to computer hardware/software/peripherals, etc. Although the line item

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can be for Postage & Shipping, for example, it does not mean that is what the funding can be spent on. That is determined by the grant guidelines. It is listed as such in the Grant Budget since that is part of the overall contract template that we are required to use.

Please note that there is a match involved with this line item, which is 20% for this grant. For Supplies purchases, the 20%, or $400.00 worth of invoices will count towards the match but not be reimbursed. The first invoices will be used to make up this match, and once the $400.00 is met, each eligible invoice will be reimbursed in full until the grant award for that line item is met.

For tech grants, that match is 50%, and each eligible invoice is split so half the invoice makes up the match and the other half is reimbursable until the grant award plus match is met.

The totals at the bottom of the table show the maximum amount that you can be reimbursed, the total of the match, and the project total, which combines the two.

Please note that not all charges are eligible for reimbursement in any of the grants provided by the Library & Archives. Elements such as taxes and late charges are not eligible. If your library is being charged taxes and you are considered tax exempt, it is recommended that you contact your vendor to verify that your tax exempt status is in their files and your library should not be charged taxes.

Shipping, on the other hand is an eligible expense on an invoice.

If you are not sure of what you can and cannot purchase with your grant funds, you can refer back to your application and/or speak with your grant monitor.

Grant Monitors

Each grant has a grant monitor. This person is the one that, as a grantee, you will send all of your invoices, reports, and can answer questions. Of course, the project manager of the grant is also available to answer questions. For many of the larger grants, such as the tech grant, this monitor may be your Regional Assistant Director or other regional staff member. For Metro grants and for smaller grants, the Technical Services Coordinator serves as the grant monitor. For the construction grants, the Director of Planning and Development serves as your grant monitor. You will receive contact information for your grant monitor with each grant you receive.

Grant monitors are in place to help grantee successfully navigate the grant that they have received. They send out reminders for deadlines and can provide all applicable forms and reports. If there are issues with invoices, they will reach out and speak to the grantee about the issues and potential solutions.

Grant Administration Guidelines

Procurement

Every grant requires a purchase of an item. That item may be hardware, software, construction materials, general supplies, salaries, instructor fees, amongst others. For items that are available through state contract, you, as the grantee, is welcome to order off of those contracts that allow for local government procurement. However, ordering off of a state contract is not required. Purchases from local vendors are allowed, as are purchases from online vendors. Please keep in mind that procurements must be competitive, where practicable and documented when not, and be sure to follow your local procurement policies. If federal funds are being spent, please refer to section D. 20. of your contract to ensure that you are complying with federal rules.

For those grants that have purchasing specifications, those criteria are required in that purchase, regardless of the vendor used. For example, if there is a specification in the grant to purchase desktops with a 500GB or larger hard drive, then the purchase of a desktop with a 250GB would be ineligible for the grant, unless additional hard drives were purchased to reach that minimum of 500GB.

A packing slip for items that are shipped should be received in the package along with the items. This packing slip should be reviewed when unpacking the boxes to ensure that all items are what were ordered and have been received.

For each order, the grantee should receive an invoice after the items are received, or after services are rendered. Invoices that are dated before the item is received/services are rendered will have to be revised in order to be processed.

Changes

Some grants allow for changes to be made from what was requested in the application. If your grant does allow for changes to be made in what is to be purchased, you will be required to submit a change form prior to the actual purchase being made. This is to ensure that what you plan to purchase is eligible within the parameters of the grant project.

For example, if you received a Technology grant for the purchase of 2 laptops and decided later during the grant that you needed to purchase a printer, you could submit a change form to your grant monitor for that change. Your grant monitor will then review your change form and notify you regarding the eligibility of that change.

Reimbursement Procedures

Every grant that is awarded through the Library and Archives is a reimbursement grant. What that means is that the grantee will not receive a single lump sum at the beginning of the grant. Instead, the funds will be dispersed to you as you provide eligible invoices to your grant monitor.

Only items eligible within the grant will receive a reimbursement. For example, if you received a Tech Grant, and purchased a desktop for $500.00 and a desk for $800.00 on the same invoice, your grant monitor would only process the part of the invoice that covered the desktop, since the desk would be ineligible with this particular grant. Continuing with this example, once the invoice had been reviewed by your grant monitor and payment requested, you would receive a reimbursement of $250.00, since the grant is a 50/50 grant. For more information about this, please see the next section.

Invoices

With a reimbursement system, your grant monitor relies on invoices to ensure that funds have been properly expended on eligible items or services. Each invoice should contain the following:
- Invoice number
- Invoice date that is after the contract start date
- Name of the grantee on the invoice as the billed to and/or shipped to entity
- A description of each item on the invoice
  - Any ineligible items should be marked out
  - If the invoice is for a class, the class title should be included
- Any shipping or postage costs clearly marked
- A total for the invoice

Receipts from local stores are also acceptable.

Grant monitors cannot accept *pro forma* invoices (invoices that are created at the point of sale as a draft, not a final invoice), sales quotes, or purchase requests in lieu of actual invoices. If this type of documentation is submitted, you will be asked to provide an actual invoice.

If you do not have invoices that are dated on or before your grant contract end date, you will be asked to provide documentation to show that your funds have been encumbered. Your grant monitor will need documentation to show that the funds were at least encumbered by the contract end date. This can be an approved purchase request, *pro forma* invoice, or other documentation. Once the items ordered are delivered, you should send the invoice as soon as possible.

<u>Construction Grants</u>	For construction grants to have invoices reimbursed, the grantee must submit the invoice as well as the front and back of the cancelled check that paid that invoice. If a cancelled check is not available, then a copy of the relevant bank statement with the corresponding check noted is acceptable. For this grant, the amount in invoices should be double the amount of the grant award, to cover the prerequisite as well as the grant funds.
<u>Grants with less than 50% match</u>	For grants that have a less than 50% match, such as STEM grants, the match is deducted up front with the first invoices until the match amount is met. After that, eligible invoices are reimbursed fully until the grant award is met.
<u>Grants with a 50% match</u>	For grants with a 50% match, eligible invoices are reimbursed half the total amount until the grant award is met. This is to ensure that the local match is met along with ensuring the grant award is spent.

It is requested that invoices be submitted no more than once a month.

Publicity

Publicity regarding grants that contain federal funds must credit the Institute of Museum and Library Services. For example: "This project was made possible in part by the Institute of Museum and Library Services and administered by the Tennessee State Library and Archives." Another option is to utilize the IMLS logo, which is available at https://www.imls.gov/grants/manage-your-award/grantee-communications-kit/imls-logos. However, it is requested that prior to using an IMLS logo, that the Logo Standards Guide is reviewed. That is available at https://www.imls.gov/sites/default/files/logostandards.pdf.

For grants that are funded with both state and federal funds, please use "Funding for this project was provided by the Office of the Secretary of State and the Institute of Museum and Library Services, administered by the Tennessee State Library and Archives."

For grants that contain only state funds, the following acknowledgement should be used: "Funding for this project was provided by the Office of the Secretary of State and administered by the Tennessee State Library and Archives."

If you are unsure of the source of your grants, please contact your grant administrator to verify where the funds originated.

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Reports

There are a variety of reports required with each grant, and these reports may vary from grant project to grant project.

For example, with the Training Opportunities for the Public (TOP) grant, there are three reports required from each applicant:
- Financial report
- Installation report
- Narrative report

Financial Report

This report lists all invoices associated with the project, including the date, vendor and amount. This is to ensure that we are not missing any invoices and that all eligible invoices have been included.

Installation report

This report is signed by the installers of any equipment purchased with grant funds. This is to verify that all equipment has been received and put into use. The installers could be the Network Services Consultants, the Library Information System Specialists, a library staff person, etc. It could also be all the above.

Narrative report

This report is a summary of the project from the perspective of the grantee. This typically asks for a summary of the project, what changes have you noticed, did the project meet with your expectations, and if not what would you do differently, and a request for anecdotal information and any pictures. This particular report is to summarize the grant project.

Depending on the project, different reports or variations on the above reports may be requested. An example of this is with the tech grant project. While we ask for financial and installation reports, we also ask for a user report, and a different narrative report, since this project does not include a training component. With the construction grants, we only ask for a final financial report.

Site Visits

Periodic site visits may be part of your grant. This visit is for us to be able to see how your grant is going, and to talk with you to see how you are feeling about your progress and to answer any questions you may have. This is not a judgement on your project but instead a type of wellness check. This site visit may be in the form of IT staff installing your hardware and software or a

visit during a program and discussion after. Not all grantees will be visited, some are determined randomly.

Please utilize your site visit as an opportunity to clarify anything you are not sure about.

Record Retention

By the end of your grant, you should have a lot of documentation about your grant: a copy of your application, a copy of your contract and copies of all invoices, reports, and correspondence, etc. A common question is how long you need to keep this documentation. The answer depends on what type of funds were used for your grant.

State and/or Federal Funds

If your grant was funded using state and/or federal funds, you should keep your documentation at least 5 years after the end date of the last 5-year LSTA program report. The reason that state only grants are included in this retention policy is because state grants are sometimes used as part of the Library & Archives' match to the Institute of Museum and Library Services (IMLS). The Library & Archives runs LSTA funds as part of a 5-year plan that is approved by the IMLS. For example, tech grants for the 2017-2018 fiscal year are within the last year of the 2013/2017 5-year plan. That plan ends on September 30, 2018 (as fiscal years run on an October through September fiscal year, sometimes called the FFY – Federal Fiscal Year), and the final report to the IMLS is due by December 31, 2018. This would make the destruction date any time after 12/31/2023.

Below is a table that may assist in determining your document destruction date.

Five Year Plan	Last TSLA Report Due to IMLS	State RDA* Destruction Date
FFY 1995 – 1997	December 31, 1998	Destroy after December 31, 2003
FFY 1998 – 2002	December 31, 2003	Destroy after December 31, 2008
FFY 2003 – 2007	December 31, 2008	Destroy after December 31, 2013
FFY 2008 – 2012	December 31, 2013	Destroy after December 31, 2018
FFY 2013 – 2017	December 31, 2018	Destroy after December 31, 2023
FFY 2018 – 2022	December 31, 2023	Destroy after December 31, 2028
FFY 2023 – 2027	December 31, 2028	Destroy after December 31, 2033
FFY 2028 – 2032	December 31, 2033	Destroy after December 31, 2038

*RDA = Record Disposition Authorizations

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State and Federal Funds

If your grant is comprised of both state and federal funds, you should follow the retention rules of the Federal funds.

How do you know which funds are part of your project? This is detailed on the front page of your contract.

GOVERNMENTAL GRANT CONTRACT
(cost reimbursement grant contract with a federal or Tennessee local governmental entity or their agents and instrumentalities)

Begin Date 07/01/2016	End Date 06/30/2017	Agency Tracking # 30504-01117-54	Edison ID

Grantee Legal Entity Name Sample Public Library	Edison Vendor ID 456865464

Subrecipient or Contractor	CFDA # 45.310
☒ Subrecipient	
☐ Contractor	Grantee's fiscal year end 06/30/2017

Service Caption (one line only)

For the provision of providing programming

Funding —

FY	State	Federal	Interdepartmental	Other	TOTAL Grant Contract Amount
2017	1,100.00	7,600.00			8,700.00
TOTAL:	**1,100.00**	**7,600.00**			**8,700.00**

In the example above, you can see that the Sample Public Library was funded $1,100.00 in State funds, and $7,600.00 in Federal Funds for a total grant of $8,700.00. For document retention, the documentation for this grant would be kept until 12/31/2023, as it was funded within the 2013/2017 Five Year Plan.

Questions?

For any questions regarding grants, please contact either your grant monitor or Jennifer Cowan-Henderson (Jennifer.Cowan-Henderson@tn.gov).

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