



# State of Utah

# Manual of Procedures

## for LSTA Funds Administration

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**Library Division Director: Donna Jones Morris Colleen Eggett**  
**LSTA Grants Coordinator: Stephen A. Matthews, PhD**  
**LSTA Grants Coordinator: Rachel Cook**

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UTAH STATE LIBRARY DIVISION

Manual of Procedures
for
LSTA Funds Administration

Table of Contents

i. Introduction.....1
ii. IMLS Requirements.....2
iii. Applicable Staff
Positions.....3
iv. Review and
Revision.....3
I. Library Division Director .....4
II. LSTA Grants Coordinator
.....8
III. USL Finance Manager
.....12
IV. Blind Program Manager
.....15
V. Resources Program Manager
.....17
VI. Development Program
Manager.....19
VII. Bookmobile Program
Manager.....21
VIII. LSTA Project Coordinators
.....22
IX. Contracts/Grants Analyst
.....24
X. Internal LSTA Funded Projects
.....26
XI. External LSTA Funded Projects
.....29
XII. Reaching Persons with Limited English
Proficiency.....31
XIII.
Summary.....32
XIV.



# UTAH STATE LIBRARY DIVISION

Glossary.....	32
XV. Appendix A – Grant Project Proposal Form.....	37
XVI. Appendix B – Grant Project Approval Form.....	38

## i. Introduction

Because Utah State Library is the state library administrative agency (SLAA) as defined by USCode, Title 20 – Education, Chapter 72 - Museum And Library Services, Subchapter II - Library Services And Technology, Sec. 9122., meaning the official agency of a state charged by the law of the state with the extension and development of public library services throughout the state, and confirmed in Section 9-7-201, *UCA*, USL has developed this Manual of Procedures for all actions and transactions concerning Library Services and Technology Act (LSTA) funds administration. USL takes very seriously the responsibility of managing LSTA federal funds for the most good for Utah libraries.

It is USL staff members who deal with LSTA grants received from the federal agency Institute of Museum and Library Service (IMLS). Individuals have the collective responsibility for LSTA administration, therefore this Manual is organized by USL staff position. Each position is described and the actions and steps for which each position is responsible are explained in accomplishing that administration, when they are accomplished, other staff members with whom they interact, the results of interactions and transactions, and follow-up activities essential to accomplishing whatever LSTA activities are required.

Two additional sections of the Manual will address the two types of LSTA grant projects – internal and external. Internal projects are those conducted by Utah State Library that use LSTA funds to accomplish recurring and non-recurring projects to achieve specific LSTA Plan Goals and Objectives at the State level. External projects are those conducted by eligible library organizations outside of USL whose non-recurring project objectives coincide with LSTA objectives, and who are responsible to expend and account for the LSTA funds given them through a sub-grant award process to benefit their local library and community.

This Manual is intended to reduce the amount of work involved in LSTA funds administration by establishing specific procedures that will prevent unnecessary work and delay by "reinventing the wheel" for every LSTA funds transaction, and eliminating a "trial and error" learning curve for new staff members in the LSTA administration system. Staff efforts now will save considerable effort and eliminate error in the future, as well as eliminate weaknesses and inefficiencies in the procedures that USL now uses for administering LSTA funds and grants.

## ii. IMLS Requirements



## UTAH STATE LIBRARY DIVISION

The Institute of Museum and Library Services has established numerous regulations to govern LSTA funds provided through the Grants to States Program. The majority of these requirements are delineated at the IMLS website <https://www.imls.gov/grants/grants-states/grants-states-manual> ~~<http://stateprograms.imls.gov/>~~ that "... includes all statutes and regulations pertinent to the program as well as forms, instructions, and guidance on how to administer and report on the use of State Program Grants to States funds." ~~It is password protected, which is available to authorized individuals from the Library Division Directory or LSTA Grants Coordinator upon request.~~

IMLS guidance states; "The maximum amount allowed under 20 U.S.C. §9132(a) for administrative costs is four percent (4%) of the funds received by a State from IMLS. In effect, the majority (96%) of the LSTA funding goes directly towards programs. The 4% that is allowed for administrative costs is to be used to oversee and direct the 96%. Administrative costs should be limited to those which apply to the SLAA's administration of plans, programs, and activities under the IMLS LSTA program." USL abides by this requirement and all requirements established by IMLS.

Records related to LSTA funds expenditures are required to be kept in accordance with 45 CFR 1183.42 (a) and (b), Federal Regulations, which states that Records must be kept for three years after the Grantee (a.k.a., the State Library Administrative Agency) submits the last expenditure report for that period. IMLS guidance states; "Since the entire five-year package of documents is pertinent to the State Program, records for all documents associated with that five-year period must be kept until three years after the last report is submitted." or the SPR Annual Report for the program period – typically the current 5-Year LSTA Strategic Plan, 201~~83~~-20~~22~~17.

### iii. Applicable Staff Positions

Each section of the Procedures Manual will describe and explain procedures used by personnel in the following staff positions involved with administering LSTA funds.

- I. Library Division Director
- II. ~~—~~LSTA Grants Coordinator
- III. ~~—~~USL Finance Manager
- IV. ~~—~~Blind Program Manager
- V. ~~—~~Resources Program Manager
- VI. ~~—~~Development Program Manager
- VII. ~~—~~Bookmobile Program Manager
- VIII. ~~—~~LSTA Project Coordinators
- IX. ~~—~~Contracts/Grants Analyst

Each staff position description and explanation includes four categories for procedures; responsibilities and actions, other staff positions with which the position interacts,



## UTAH STATE LIBRARY DIVISION

documents the position creates, processes, actions and/or passes along, and decisions the position makes regarding LSTA funds or grants.

### **iv. Review and Revision**

Each staff member referenced herein will review their applicable procedures annually in April to make appropriate revisions to their LSTA Funds procedures. Recommendations for revisions in procedures will be submitted to the Grants Coordinator not later than April 10, who will submit all revisions to the Director for review and approval/disapproval not later than April 15. The LSTA Grants Coordinator will be the action person for revisions to this Manual.

Any revisions that come from IMLS will be the responsibility of the LSTA Grants Coordinator to apply as necessary to this Procedures Manual. Revisions will be disseminated through normal channels as they occur. Staff should provide recommendations in the form of a 'mark-up' version of the existing section showing the relevant revisions, corrections, additions, or deletions.

A revised LSTA Manual of Procedures will be published and disseminated by April 30 annually. A copy will be provided to the Department of Heritage and Arts Auditor.



## UTAH STATE LIBRARY DIVISION

### I. Library Division Director

1. The Library Division Director Position, as the IMLS recognized Chief Officer for the State Library Agency, supervises all aspects of LSTA fund allocation, distribution, accountability and reporting through USL staff, and has responsibilities and actions that include the following.

- A. Receive LSTA Grant documentation from the Institute of Museum and Library Services applicable for the next two fiscal years for action and distribution to staff, as appropriate.
  - 1) Initial award documents sent by IMLS, normally in January, include;
    - a. Grant Award Notification in electronic PDF format
    - b. FY Grant Award Guidance: Review new sections related to new procedures used by IMLS for requesting funds, new forms, SAM.gov resources, and Federal Funding Accountability and Transparency Act (FFATA) reporting.
    - c. FY Program Assurances and Certifications: Sign and return assurances to Utah's IMLS Program Officer within 10 business days.
    - d. FY Grant Cycle Calendar: Provides USL with at-a-glance deadlines associated with the new FY LSTA award
    - e. FY Allotment Table: Review section regarding the effect of MOE reductions, and other changes from previous years
  - 2) Review all documentation for changes from previous year procedures and requirements
  - 3) Coordinate new FY award with Finance Manager, Grants Coordinator, and Program Managers, as necessary
- B. Contact IMLS Grants to States Program and other officers, as necessary
  - 1) Communicate telephonically or electronically with Utah's IMLS Program Officer as necessary regarding questions or issues related to LSTA funds/projects/reports
  - 2) Attend IMLS training, as necessary
  - 3) Participate in IMLS webinars and other training to ensure compliance with all IMLS rules and processes, as necessary
- C. Coordinate with USL Finance Manager to begin an LSTA FY budget listing the Grant Award amount and the budget category amounts that are annually committed for recurring expenses, in accordance with USL's 5 Year LSTA Plan
  - 1) Coordinate with Finance Manager, Program Managers and Grants Coordinator to develop FY budget
  - 2) Approve initial FY budget, and share with staff as necessary
- D. Approve request for funds from IMLS in accordance with "Request for Advance or Reimbursement " SF-270, monthly, or as necessary
  - 1) Advise Finance Manager regarding Advance or Reimbursement amounts
  - 2) Sign prepared request as authorized by the SF-270 form



## UTAH STATE LIBRARY DIVISION

- E. Supervise preparation and submission of IMLS forms, documents and reports,
  - 1) Supervise preparation of reports for submission to IMLS, as required, including;
    - a. State Legal Officer's Certification
    - b. Program Assurances for Grant Award
    - c. Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Lobbying; Federal Debt Status; and Nondiscrimination
    - d. Assurances – Non-Construction Programs
    - e. Internet Safety Certification Form, as applicable
    - f. Information Update form annually, or whenever there are changes in key staff positions
    - g. Annual SPR, FSR, and other forms and documents requiring the Director's signature/approval
  - 2) Sign prepared reports, as necessary
- F. Recommend to the State Library Board whether or not to offer State-wide competitive LSTA sub-grant awards program,
  - 1) Determine availability of funds
  - 2) Determine amount of sub-award funds available
  - 3) Present recommendation at Board meeting
  - 4) Receive Board's determination and take appropriate actions
  - 5) Consider sub-grant application review committees' recommendations
  - 6) Decide approval or disapproval of sub-award projects
  - 7) Sign MOAs for sub-awards of LSTA funds
- G. Review and approve or disapprove internal USL LSTA funded recurring projects.
  - 1) Coordinate with appropriate Program Manager(s), Financial Manager, LSTA Grants Coordinator and staff regarding internal projects review process, as necessary
  - 2) Sign Project Proposal form, as necessary
  - 3) Sign MOAs, as necessary
- H. Review and approve or disapprove internal USL LSTA funded non-recurring projects,
  - 1) Review Project Proposal
  - 2) Consult with Project Coordinator regarding USL and LSTA goals and objectives being met
  - 3) Sign Project Proposal form, as necessary
  - 4) Sign MOAs, as necessary
- I. Review and approve or disapprove external USL LSTA funded projects.
  - 1) Coordinate with LSTA Grants Coordinator regarding external projects



## UTAH STATE LIBRARY DIVISION

- review process, as necessary
  - 2) Sign Project Proposal form, as necessary
  - 3) Jointly with LSTA Grants Coordinator, notify grant applicants of acceptance or denial of grant application, as necessary
  - 4) Sign MOAs, as necessary
- J. Conduct LSTA budget discussions with appropriate staff, as necessary.
- K. Supervise the evaluation of USL's current 5-Year LSTA Strategic Plan (5YSP) annually,
- 1) Review measurement data from Program Managers, LSTA Grants Coordinator and staff,
  - 2) Review recommendations on revisions for adequacy and compliance,
  - 3) Recommend Plan revisions to Board,
  - 4) Submit revisions to existing 5YSP, annually to IMLS, if needed, by April 1.
- L. Supervise the 5-Year LSTA Strategic Plan (5YSP) update project,
- 1) Approve an RFP to hire consultants to conduct the independent audit of the current 5YSP required by IMLS,
  - 2) Oversee the work of evaluators of the 5YSP to collect State-wide input for evaluation of current plan and needs assessment for a new plan,
  - 3) Approve USL committees to address 5YSP revisions,
  - 4) Supervise meetings to address 5YSP revisions,
  - 5) Contribute to and approve the 5YSP document to submit to IMLS,
2. Staff positions with whom the Director interacts regarding LSTA grants or funds.
- A. Staff Member Position: LSTA Grants Coordinator
- 1) Exchange information regarding IMLS guidance and LSTA allocation and requirements, as necessary
  - 2) Provide guidance regarding internal and external LSTA funded projects, as necessary
  - 3) Approve and sign LSTA related reports and documents to IMLS, as necessary
  - 4) Review SPR - prepared by LSTA Grants Coordinator, certify that the electronic report is complete, and submit final report.
- B. Staff Member Position: USL Finance Manager
- 1) Review budget allocations and expenditures, monthly or as necessary
  - 2) Coordinate expenditure and accounting of LSTA funds, monthly or as necessary
  - 3) Coordinate and sign IMLS required LSTA funding reports, as necessary
- C. Staff Member Position: Program Managers and Supervisors
- 1) Review budget allocations and expenditures, as necessary
  - 2) Coordinate expenditure and accounting of LSTA funds, as necessary



## UTAH STATE LIBRARY DIVISION

- 3) Coordinate IMLS required LSTA funding reports, as necessary
  - D. Staff Member Position: LSTA Project Coordinators and Consultants
    - 1) Coordinate with Project Coordinators regarding LSTA 5YSP requirements, as necessary
    - 2) Approve and sign MOAs, as necessary
  - E. Staff Member Position: Contracts/Grants Analyst
    - 1) Approve LSTA funded MOAs and documents, as necessary
    - 2) Sign LSTA funded MOAs
3. Documents the Director creates, processes, actions and/or passes along.
- A. Report a new Authorized Certifying Official (including Acting/Interim Chief) – submit to IMLS, as necessary
  - B. State Library Agency Legal Officer's Certification – submit to IMLS, as necessary
  - C. Program Assurances for Grant Award – submit to IMLS, as necessary
  - D. Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Lobbying; Federal Debt Status; and Nondiscrimination – submit to IMLS, as necessary
  - E. Assurances – Non-Construction Programs – submit to IMLS, as necessary
  - F. Internet Safety Certification Form (if applicable) – submit to IMLS, as necessary
  - G. Information Update form – annually USL must submit a revised Information Update form, and whenever there are changes in any key staff category.
  - H. State Program Report (SPR) – submit annually to IMLS, not later than December 30.
  - I. Certification of SPR – submit annually to IMLS with SPR
  - J. State Financial Status Report (FSR) – submit annually to IMLS, not later than December 30.
4. Major decisions the Director makes regarding LSTA grants or funds.
- A. Initial allocation of LSTA Award funds to USL programs and projects, annually and reviewed and revised as necessary
    - 1) Consult with Finance Manager, Program Managers and Grants Coordinator to develop initial FY budget
    - 2) Approve a FY budget spreadsheet for use by appropriate staff
    - 3) Review or revise budget allocations monthly, or as necessary
  - B. Recommend to the USL Board whether or not USL should use LSTA funds for sub-grant awards to local libraries, annually, and as necessary
    - 1) Determine availability of funds for sub-grant awards
    - 2) Brief the Board on recommendations
    - 3) Implement the decision of the Board



## UTAH STATE LIBRARY DIVISION

C. Propose and/or approve programs and/or projects that ensure achievement of LSTA Five Year Plan goals and objectives.

D. Other decisions required as situations arise in the LSTA funds administration process.

### II. LSTA Grants Coordinator

1. The LSTA Grants Coordinator position responsibilities and actions related to LSTA funds administration include the following.

A. Act as USL's point of contact with IMLS Grants to States Program officers,

- 1) Communicate telephonically or electronically with IMLS officers as necessary regarding questions or issues related to LSTA funds, projects, reports, and IMLS information/instructions
- 2) Attend IMLS training as necessary
- 3) Participate in IMLS webinars as necessary
- 4) Review all correspondence with IMLS for action or file
- 5) Keep the Division Director and/or Finance Manager informed of all relevant communications

B. Receive LSTA Grant documentation from IMLS for action, distribution and file, including the initial award documents sent by IMLS;

- 1) Grant Award Notification in electronic PDF format
- 2) FY Grant Award Guidance: Review new sections related to new procedures used by IMLS for requesting funds, new forms, SAM.gov resources, and FFATA reporting
- 3) FY Program Assurances and Certifications: Sign and return assurances to our Program Officer as required
- 4) FY Grant Cycle Calendar: Provides USL with at-a-glance deadlines associated with the new FY LSTA award
- 5) FY Allotment Table: Review section regarding the effect of MOE reductions, and other changes from previous years

C. Be knowledgeable about all IMLS forms and documentation, reports and deadlines.

- 1) Submit reports in accordance with IMLS's LSTA Grant Cycle Calendar, including;
  - a. State Legal Officer's Certification
  - b. Program Assurances for Grant Award
  - c. Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Lobbying; Federal Debt Status; and Nondiscrimination
  - d. Assurances – Non-Construction Programs
  - e. Internet Safety Certification Form, as applicable
  - f. Information Update form annually, or whenever there are changes in key staff positions



## UTAH STATE LIBRARY DIVISION

- g. Annual SPR, FSR, and other forms and documents requiring the Director's signature/approval
  - 2) Complete IMLS reports as required in accordance with IMLS instructions
  - 3) Retain grant information on file
  - 4) Retain grant related documents on file
- D. Advise the Division Director regarding forms and documentation, reports and deadlines, and work with the Director to prepare annual SPR, FSR, and other forms and documents in C. above requiring the Director's signature/approval.
- E. Coordinate State-wide competitive LSTA sub-grant projects.
- 1) Announce a sub-grant award cycle through list-serv~~ses~~ and website
  - 2) Create sub-grant award information, application and report forms
  - 3) Organize sub-grant application review committees
  - 4) Accept applications by designated deadline
  - 5) Review applications for completeness and compliance with requirements
  - 6) Forward eligible applications to Review Committee Coordinators for committee evaluation and recommendations
  - 7) Submit review committee recommendations to Director for final prioritization and approval in collaboration with appropriate staff
  - 8) Prepare notifications for applicants of acceptance or denial of grant application
  - 9) Jointly with Division Director, announce sub-grant recipients to library community
  - 10) Forward information about approved grants to Contracts/Grants Analyst to create appropriate MOAs for sub-grant recipients
  - 11) Follow up, coordinate with Contracts/Grants Analyst on awarded sub-grants
  - 12) Coordinate and follow-up with grant recipients to ensure their compliance with LSTA requirements
  - 13) Receive, review and file sub-grant Interim and Final Reports for inclusion in annual SPR
- F. Coordinate USL's internal LSTA funded projects,
- 1) Review LSTA Project proposals from staff members
  - 2) Receive approval and project information from Director
  - 3) Consult with Project Coordinator regarding LSTA requirements, as necessary
  - 4) Advise Project Coordinator of required forms and reports, as necessary
  - 5) Receive LSTA project forms and reports for inclusion in SPR in December
- G. Coordinate, as necessary, external LSTA funded projects submitted in response to USL announcements to entertain grants in a specific area



## UTAH STATE LIBRARY DIVISION

reflective of the LSTA 5-Year Strategic Plan.

- 1) Review LSTA Project proposals from outside library organizations , with the Project Coordinator, USL staff member who announced the focused grant round
- 2) Make recommendations to the Director
- 3) Receive approval and project information from the Director
- 4) Consult with the Project Coordinator regarding LSTA requirements
- 5) Forward information about approved grants to Contracts/Grants Analyst to create appropriate MOAs for sub-grant recipients
- 6) Follow up, coordinate with Contracts/Grants Analyst on awarded sub-grants
- 7) Advise the Project Coordinator of required forms and reports
- 8) Coordinate and follow-up with grant recipients to ensure their compliance with LSTA requirements
- 9) Receive, review and file grant Interim and Final Reports for inclusion in annual SPR in December

H. Participate in LSTA budget discussions with Director and USL Finance Manager, and other staff as appropriate.

I. Coordinate the evaluation of the current LSTA 5-Year Strategic Plan (5YSP) annually,

- 1) Collect measurement data from Program Managers and staff,
- 2) Evaluate existing Plan Outcomes for adequacy and compliance,
- 3) Report results to Division Director,
- 4) Make revisions to existing 5YSP, if necessary, and submit to IMLS not later than April 1 for approval.

J. Lead the LSTA 5-Year Strategic Plan (5YSP) update project,

- 1) Outline an RFP to hire consultants to conduct the independent audit of the current 5YSP required by IMLS,
- 2) Work with 5YSP evaluators to collect State-wide input for evaluation of current plan and needs assessment for a new plan,
- 3) Organize USL committees to address 5YSP revisions,
- 4) Conduct meetings to address 5YSP revisions,
- 5) Prepare the 5YSP document to submit to IMLS,

2. Staff positions with whom the LSTA Grants Coordinator interacts regarding LSTA funds or grants.

A. Staff Member Position: Library Division Director

- 1) Exchange information regarding IMLS guidance and LSTA funds requirements, as necessary
- 2) Receive guidance regarding internal and external LSTA funded projects, as necessary
- 3) Prepare and submit LSTA related reports and documents to IMLS, as necessary



## UTAH STATE LIBRARY DIVISION

4) Participate in LSTA budget discussions

B. Staff Member Position: USL Finance Manager

- 1) Coordinate with Finance Manager on LSTA budget information, as necessary
- 2) Consult with Finance Manager regarding necessary information for IMLS reports, as necessary
- 3) Assist Finance Manager with LSTA required forms and reports to IMLS, as necessary

C. Staff Member Position: Program Managers and Supervisors

- 1) Review budget allocations and expenditures, as necessary
- 2) Coordinate expenditure and accounting of LSTA funds, as necessary
- 3) Coordinate IMLS required LSTA funding reports, as necessary
- 4) Provide assistance in completing year end SPR input, as necessary

D. Staff Member Position: LSTA Project Coordinators

- 1) Consult with Project Coordinator regarding LSTA requirements, as necessary
- 2) Assist Project Coordinator with MOA language, as necessary
- 3) Advise Project Coordinator of required forms and reports, as necessary
- 4) Receive LSTA internal and external project forms and reports, as necessary

E. Staff Member Position: Contracts/Grants Analyst

- 1) Consult with Contracts/Grants Analyst regarding necessary information and language for LSTA Memorandum of Agreements (MOA) for sub-grant awards, as necessary
- 2) Assist Contracts/Grants Analyst with MOA follow-up, as necessary
- 3) Assist Contracts/Grants Analyst with LSTA documents filing, as necessary

3. Documents the LSTA Grants Coordinator creates, processes, actions and/or passes along.

A. LSTA documents to complete and submit to IMLS, as necessary (unless otherwise noted):

- 1) A new Authorized Certifying Official (including Acting/Interim Chief).
- 2) State Legal Officer's Certification
- 3) Program Assurances for Grant Award
- 4) Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Lobbying; Federal Debt Status; and Nondiscrimination
- 5) Assurances – Non-Construction Programs
- 6) Internet Safety Certification Form
- 7) Information Update form, annually and whenever there is a change in a



## UTAH STATE LIBRARY DIVISION

key staff member (Director, Grants Coordinator, Finance Manager)

- 8) FRSR Report of individual LSTA Projects over \$25,000.
- 9) Annual State Program Report (SPR) in December

B. Develop, distribute, receive, review and action LSTA sub-grant program forms and documents including;

- 1) LSTA Project Areas and Information
- 2) Eligibility Criteria and DUNS Number Information
- 3) Grant Applications Step-by-Step
- 4) Sub-Grant Cycle Application Form (in Salesforce)
- 5) Application Submission Review Checklist
- 6) Proposed Budget Form (in Salesforce)
- 7) ~~Local Funds and LSTA Funds Requested Form~~
- 8) Partnership Statement Forms (where partnerships exist)
- 9) LSTA Project Interim and Final Reports

4. Major decisions the LSTA Grants Coordinator makes regarding LSTA funds or grants includes;

A. Determine the essential information necessary to include in LSTA sub-grant documents and forms.

- 1) Create sub-grant award application and report forms based on LSTA requirements from IMLS,
- 2) Draft and distribute Sub-grant Award Round announcement to the Utah library community
- 3) Coordinate with Director on grant period calendar and deadlines,
- 4) Sort and distribute applications for review committee based on sub-grant category,
- 5) Draft letter contents to notify applicants of acceptance or denial of grant application
- 6) Draft announcement of sub-grant recipients to library community
- 7) Draft appropriate language about approved grants to Contracts/Grants Analyst to create appropriate MOAs for sub-grant recipients
- 8) Determine whether grant recipients are in compliance with LSTA requirements,
- 9) Determine whether sub-grant Interim and Final Reports are properly completed by grant recipients

B. Propose programs and/or projects that ensure achievement of LSTA Five Year Plan goals and objectives.

C. Other decisions required as situations arise in the LSTA funds administration process.

### III. USL Finance Manager

1. The USL Finance Manager position responsibilities and actions related to LSTA funds administration include the following.



## UTAH STATE LIBRARY DIVISION

- A. Assist the Director in establishing and updating the LSTA budget
- B. Supervise the tracking and reconciliation of expenditures funded by LSTA
- C. Request reimbursement from IMLS for applicable expenditures
- D. Supervise the processing of payments in the State's accounting system
- E. Set up program codes for USL programs and projects for tracking expenditures
- F. Respond to post-payment audit questions

2. Staff members with whom the USL Finance Manager interacts regarding LSTA grants or funds.

- A. Staff Member Position: Library Division Director
  - 1) Exchange information regarding IMLS guidance and LSTA funds requirements, as necessary
  - 2) Receive guidance regarding internal and external LSTA funded projects, as necessary
  - 3) Prepare and submit LSTA related reports and documents to IMLS, as necessary
  - 4) Participate in LSTA budget discussions
  - 5) Review and provide recommendation of internal LSTA non-recurring projects
- B. Staff Member Position: LSTA Grants Coordinator
  - 1) Exchange information regarding IMLS guidance and LSTA allocation and requirements, as necessary
  - 2) Exchange information regarding internal and external LSTA funded projects, as necessary
  - 3) Review and coordinate LSTA related reports and documents to IMLS, as necessary
- C. Staff Member Position: Program Managers and Supervisors
  - 1) Review budget allocations and expenditures, as necessary
  - 2) Coordinate expenditure and accounting of LSTA funds, as necessary
- D. Staff Member Position: Contracts/Grants Analyst
  - 1) Periodic preparation, processing and approval of LSTA grant-funded payments related to LSTA MOAs & contracts.
  - 2) Periodic preparation of spreadsheet queries detailing expense totals.
  - 3) Periodic preparation of vendor setup in State accounting system.

The USL Finance Manager also interacts with the DHA Internal Auditor regarding periodic, post-payment auditing of expenses charged to LSTA, validation of the integrity of LSTA program and adherence to State purchasing and accounting policies and procedures, and responds to post-payment audit questions by researching process and detail for individual payment transactions.



## UTAH STATE LIBRARY DIVISION

3. LSTA documents the USL Finance Manager (or his/her designee) creates, processes, actions and/or passes along.

A. PRC - Commodity-based Payment, reimbursement of expenditures specific to Memorandum of Agreement or contracted vendor service or goods.

- 1) Request for approved payment received from Contracts/Grants Analyst.
- 2) Document reviewed for proper coding & entered into state accounting system.
- 3) Transaction reviewed/approved, after entry, by other finance staff in order to release payment to vendor/contractor.

B. GAX - General Accounting Expenditure, periodic request for payment of expenditures specific to non-contracted vendor for goods or services.

- 1) Request for approved payment received from Library staff.
- 2) Document reviewed for proper coding & entered into state accounting system.
- 3) Transaction reviewed/approved, after entry, by other finance staff in order to release payment to vendor.

C. RE - Invoice for receivables, periodic/monthly request for federal draw-down funds entered into State accounting system.

- 1) Once expenditure amount is determined for particular period, document is prepared and entered into state accounting system.
- 2) Document reviewed for proper coding.
- 3) Transaction reviewed/approved, after entry, by Library finance staff.

D. IMLS Form SF-270, periodic/monthly request for federal fund disbursement.

- 1) Once expenditure amount is determined for particular period, form is prepared, approved by the Director or designee, and emailed to IMLS Grants Administration Office.
- 2) Document is reviewed by Library Finance Manager for accuracy.

E. Quarterly Grant Accrual Report, quarterly total incurred expenses for active grant- awards that have not been submitted to IMLS for reimbursement.

- 1) After expenditure amount is determined for particular period, totals are emailed to LSTA/IMLS.
- 2) Document is reviewed by Library Finance Manager for accuracy.

F. Expenditure – Budget Comparison Report, monthly comparison of expense versus revenue.

- 1) Revenue and expenditures specific to the grant loaded into State accounting system are queried and entered onto spreadsheet.
- 2) Financial budget allocation and applicable expenditure detail is reviewed and compared against data warehouse canned reports.
- 3) Summary of detail utilized to prepare SF 270 report.

4. Major decisions the USL Finance Manager makes regarding LSTA grants or funds.



## UTAH STATE LIBRARY DIVISION

### A. Description of decisions:

- 1) Determine how much grant reimbursement is due to Utah State Library, monthly
- 2) Request the draw from IMLS and insure that there are sufficient funds available in the grant allocation, quarterly or as necessary
- 3) Determine function codes relating to approved programs or projects approved with a given LSTA grant allocation to track and report expenditures, as necessary

B. Other decisions required as situations arise in the LSTA funds administration process.

## IV. Blind Program Manager

1. The Library for the Blind Program Manager position responsibilities and actions related to LSTA funds administration include the following.

———A. In concert with Director, oversee LSTA funding used to purchase large print —books, audio books, and online subscriptions and resources for circulation to visually impaired patrons, if included in annual LSTA ——Budget.

- 1) Discussion with staff regarding developing large print, audio book, and online resource collection
- 2) Supervise purchase and replacement of books, audio books, and online resources and special order items
- 3) Review monthly expenditure report for books, audio books, and online resourceslarge print books

B. Compile outcome statistics and data for LSTA reports

- 1) Track LSTA funds expenditures by category
- 2) Review LSTA funds expenditures monthly or periodically
- 3) Submit an annual report for Blind Program expenditures to LSTA Grants Coordinator

C. In concert with Director, utilize LSTA funds for special projects or to purchase special format supplies for the Blind Program.

- 1) Supervise staff to contact vendors for pricing of supplies and materials for Blind Program
- 2) Supervise creation and submission of Purchase Orders for purchasing supplies and materials
- 3) Supervise processing and coding of invoices, and submitting bills for payment

2. Staff members with whom the Blind Program Manager interacts regarding LSTA funds.



## UTAH STATE LIBRARY DIVISION

- A. Staff Member Position: Library Division Director
  - 1) Exchange information regarding LSTA budgeted funds, as necessary
  - 2) Receive guidance regarding internal and external LSTA funded projects,
  - 3) Present recommendations for LSTA funded projects,
  
- B. Staff Member Position: LSTA Grants Coordinator
  - 1) Exchange information regarding LSTA budgeted funds and requirements, as necessary
  - 2) Exchange information regarding LSTA funded projects, as necessary
  - 3) Review and coordinate LSTA related reports and documents for inclusion in IMLS reports, as necessary
  
- C. Staff Member Position: Librarian II, Collection Coordinator
  - 1) Discussion about developing large print collection
  - 2) Purchase replacement books, and special order items
  - 3) Submits a monthly expenditure report for large print books, audio books, and online resources to Program Manager
  
- D. Staff Member Position: Contracts/Grants Analyst
  - 1) Consult with Contracts/Grants Analyst regarding necessary information and language for LSTA Memorandum of Agreements (MOA) for sub-grant awards, as necessary
  - 2) Assist Contracts/Grants Analyst with MOA follow-up, as necessary
  - 3) Assist Contracts/Grants Analyst with LSTA documents filing, as necessary
  
- E. Staff Member Position: Executive Secretary
  - 1) Contacts vendors for pricing of supplies and materials for Blind Program
  - 2) Creates and submits PO's for purchasing supplies and materials
  - 3) Submits bills to Finance for payment

3. LSTA documents the Blind Program Manager creates, processes, actions and/or passes along.

A. An LSTA Project Proposal form is filled out with all pertinent information to provide enough background and understanding in order for the proposed project to be considered ~~to be funded~~for funding with LSTA dollars, and submitted as required.

———B. LSTA Project Final Report ~~form found online~~ is completed on all LSTA funded projects to be included in ~~provide information to the Grants Coordinator to prepare~~ the annual SPR.

4. Major decisions the Blind Program Manager makes regarding LSTA grants or funds.

- A. Description of decisions:
  - 1) Special projects for implementing new technology, or upgrading existing technology are considered and planned.



## UTAH STATE LIBRARY DIVISION

- 2) Determination of enhanced services to patrons (i.e., the large print book collection)
  - 3) Determination of subscription services for patrons (i.e. Newsline newspaper reading service)
  - 4) Determination of materials to produce the local interest alternate format books circulated to patrons (including braille paper and printers, cartridges and containers for audio books, recording software and hardware)
- B. Make recommendations to Director for retaining programs or implementing new programs to achieve Blind Program goals and objectives
- C. In concert with Director, other decisions required as situations arise in the LSTA funds administration process.

### V. Resources Program Manager

1. The Resources Program Manager position responsibilities and actions related to LSTA funds administration include the following.

A. In concert with Director, manages LSTA funds used to purchase subscription services for Utah libraries (i.e.g. downloadable collection materials, Public Pioneer database, etc.)

- 1) Discussion with staff and library directors regarding developing subscription database and digital services within USL Collection Development Policy guidelines
- 2) Supervise purchase and renewal of database subscriptions and digital services
- 3) Review monthly expenditure report for applicable services

B. In concert with Director, manage the Lender Support project that reimburses net lender libraries for their expenses.

- 1) Collect monthly lender and borrower library data
- 2) Apply a funding support formula to determine the amount of funds a net lending library may be reimbursed
- 3) Prepare an annual Lender Support reimbursement payment for net lending public libraries

C. Compile outcome statistics and data for LSTA reports

- 1) Track LSTA funds expenditures by category
- 2) Review LSTA funds expenditures monthly, or as necessary
- 3) Submit an annual report for Resource Program expenditures and projects to LSTA Grants Coordinators

D. In concert with Director, utilize LSTA funds for special projects or to purchase subscription or digital services for the Resources Program objectives.

- 1) Supervise staff to contact vendors for pricing of services for Resources Program
- 2) Supervise creation and submission of Purchase Orders for purchasing



## UTAH STATE LIBRARY DIVISION

services and materials

- 3) Supervise processing and coding of invoices, and submitting bills for payment

2. Staff members with whom the Resources Program Manager interacts regarding LSTA funds or grants.

A. Staff Member Position: Library Division Director

- 1) Exchange information regarding LSTA budgeted funds, as necessary
- 2) Receive guidance regarding internal and external LSTA funded projects,
- 3) Present recommendations for LSTA funded projects,

B. Staff Member Position: LSTA Grants Coordinator

- 1) Exchange information regarding LSTA budgeted funds and requirements, as necessary
- 2) Exchange information regarding LSTA funded projects, as necessary
- 3) Review and coordinate LSTA related reports and documents for inclusion in IMLS reports, as necessary

C. Staff Member Position: Contracts/Grants Analyst

- 1) Consult with Contracts/Grants Analyst regarding necessary information and language for LSTA Memorandum of Agreements (MOA) for sub-grant awards, as necessary
- 2) Assist Contracts/Grants Analyst with MOA follow-up, as necessary
- 3) Assist Contracts/Grants Analyst with LSTA documents filing, as necessary

D. Staff Member Position: Executive Secretary for the Resources Program

- 1) Contacts vendors for pricing of supplies and materials for Resources Program
- 2) Creates and submits Purchase Orders for purchasing supplies and materials
- 3) Processes and codes invoices,
- 4) Submits bills to Finance for payment

3. LSTA documents the Resources Program Manager creates, processes, actions and/or passes along.

A. The LSTA Project Proposal form is filled out with all pertinent information to provide enough background and understanding in order for the proposed project to be considered ~~to be funded~~ for funding with LSTA dollars, and submitted as required.

———B. LSTA Project Final Report found online is completed on all LSTA funded projects to be included in the annual SPR. ~~The LSTA Project Final Report form is completed on all LSTA funded projects to provide information to the Grants Coordinator to prepare the annual SPR.~~



## UTAH STATE LIBRARY DIVISION

C. See VII. Grants/Contracts Analyst, 1. F. for details.

4. Major decisions the Resources Program Manager makes regarding LSTA funds or grants.

A. Description of decisions:

- 1) Gather input from library directors regarding specific collection items for subscription database and digital services using USL Collection Development Policy guidelines to make final purchasing decisions, after discussion and approval from Director, for both digital subscription services and ~~Public Pioneer~~[Utah's Online Library](#)
- 2) Determine the annual Lender Support reimbursement payment for net lending public libraries

B. Make recommendations to Director for retaining programs or implementing new programs to achieve Resource Program goals and objectives

C. In concert with Director, other decisions required as situations arise in the LSTA funds administration process.

### **VI. Development Program Manager**

1. The Development Program Manager position responsibilities and actions related to LSTA funds administration include the following.

A. In concert with Director, manages LSTA funds used to fund various state-wide projects in youth services, literacy, collaborations, underserved populations, public library trustees, and other library development projects (e.g., Summer Reading, Collaborative ILS, Dia de los Niños, Dia de los Libros, etc.)

- 1) Discussion with staff and library directors regarding developing and implementing programs and services within USL guidelines
- 2) Supervise preparation and execution of local projects to improve services
- 3) Review monthly expenditure reports if applicable

B. Compile outcome statistics and data for LSTA reports

- 1) Track LSTA funds expenditures by category
- 2) Review LSTA funds expenditures monthly, or as necessary
- 3) Submit an annual report for Development Program expenditures to LSTA Grants Coordinator

C. In concert with Director, utilize LSTA funds for special projects or to purchase services for the Development Program objectives

- 1) Supervise staff to contact vendors/providers for pricing of services for Development Program projects
- 2) Supervise creation and submission of Purchase Orders for purchasing services and materials
- 3) Supervise processing and coding of invoices, and submitting bills for payment



## UTAH STATE LIBRARY DIVISION

2. Staff members with whom the Development Program Manager interacts regarding LSTA funds or grants.

- A. Staff Member Position: Library Division Director
  - 1) Exchange information regarding LSTA budgeted funds, as necessary
  - 2) Receive guidance regarding internal and external LSTA funded projects,
  - 3) Present recommendations for LSTA funded projects
- B. Staff Member Position: LSTA Grants Coordinator
  - 1) Exchange information regarding LSTA budgeted funds and requirements, as necessary
  - 2) Exchange information regarding LSTA funded projects, as necessary
  - 3) Review and coordinate LSTA related reports and documents for inclusion in IMLS reports, as necessary
- C. Staff Member Position: Contracts/Grants Analyst
  - 1) Consult with Contracts/Grants Analyst regarding necessary information and language for LSTA Memorandum of Agreements (MOA) for sub-grant awards, as necessary
  - 2) Assist Contracts/Grants Analyst with MOA follow-up, as necessary
  - 3) Assist Contracts/Grants Analyst with LSTA documents filing, as necessary
- D. Staff Member Position: Executive Secretary for the Development Program
  - 1) Contacts vendors for pricing of supplies and materials for Resources Program
  - 2) Creates and submits Purchase Orders for purchasing supplies and materials
  - 3) Processes and codes invoices,
  - 4) Submits bills to Finance for payment

3. LSTA documents the Development Program Manager creates, processes, actions and/or passes along.

A. The LSTA Project Proposal form is filled out with all pertinent information to provide enough background and understanding in order for the proposed project to be considered ~~to be funded~~for funding with LSTA dollars, and submitted as required.

———B. LSTA Project Final Report found online is completed on all LSTA funded projects to be included in the annual SPR.~~The LSTA Project Final Report form is completed on all LSTA funded projects to provide information to the Grants Coordinator to prepare the annual SPR.~~

C. See VII. Grants/Contracts Analyst, 1. F. for details.

4. Major decisions the Development Program Manager makes regarding LSTA funds or grants.



## UTAH STATE LIBRARY DIVISION

- A. Gather information from local libraries regarding specific projects and services using LSTA Strategic Plan guidelines to ensure Goals and Objectives are met regarding use of LSTA funds
- B. Make recommendations to Director for retaining programs or implementing new programs to achieve Development Program goals and objectives
- C. In concert with Director, other decisions required as situations arise in the LSTA funds administration process.

### **VII. Bookmobile Program Manager**

1. The Bookmobile Program Supervisor position responsibilities and actions related to LSTA funds administration include the following.

A. In concert with Director, the Bookmobile Program uses LSTA funds for special projects.

- 1) Discussion with staff regarding developing the collection
- 2) Supervise purchase and replacement of books and special order items
- 3) Review periodic expenditure reports for LSTA purchases

B. In concert with Director, the Bookmobile Program uses LSTA funds for repairs or replacement of essential functions of the bookmobile box (body that contains the books) for all vehicles.

- 1) Track LSTA funds expenditures by category
- 2) Review LSTA funds expenditures monthly or periodically
- 3) Submit an annual report for Bookmobile Program expenditures to LSTA Grants Coordinators

C. In concert with Director, the Bookmobile Program uses LSTA funds to purchase materials to enhance the collections or to provide startup collections in new or popular formats.

- 1) Supervise staff to contact vendors for pricing of supplies and materials for Bookmobile Program
- 2) Supervise creation and submission of Purchase Orders for purchasing supplies and materials
- 3) Supervise processing and coding of invoices, and submitting bills for payment

2. Staff members with whom the Bookmobile Program Manager interacts regarding LSTA funds or grants.

A. Staff Member Position: Library Division Director

- 1) Exchange information regarding LSTA budgeted funds, as necessary
- 2) Receive guidance regarding LSTA funded projects<sub>7</sub>
- 3) Present recommendations for LSTA funded projects<sub>7</sub>

B. Staff Member Position: LSTA Grants Coordinator



## UTAH STATE LIBRARY DIVISION

- 1) Exchange information regarding LSTA budgeted funds and requirements, as necessary
  - 2) Exchange information regarding LSTA funded projects, as necessary
  - 3) Review and coordinate LSTA related reports and documents for inclusion in IMLS reports, as necessary
- C. Staff Member Position: Contracts/Grants Analyst
- 1) Consult with Contracts/Grants Analyst regarding necessary information and language for LSTA Memorandum of Agreements (MOA) for sub-grant awards, as necessary
  - 2) Assist Contracts/Grants Analyst with MOA follow-up, as necessary
  - 3) Assist Contracts/Grants Analyst with LSTA documents filing, as necessary
- D. Staff Member Position: Bookmobile Librarians and Library Technicians
- 1) Have discussion about additions to the collection.
  - 2) Have discussion about repairs and improvements on the boxes.
  - 3) Ensure all POs and receipts are correctly completed and submitted in a timely manner.
  - 4) Provide feedback on Outcomes for LSTA projects.
3. LSTA documents the Bookmobile Program Manager creates, processes, actions and/or passes along.
- A. The LSTA Project Proposal form is filled out with all pertinent information to provide enough background and understanding in order for the proposed project to be considered **to be funded for funding** with LSTA dollars, and submitted as required.
- B. LSTA Project Final Report form is completed on all LSTA funded projects to provide information to the Grants Coordinator to prepare the annual SPR.
4. Major decisions the Bookmobile Program Manager makes regarding LSTA funds.
- A. Determine what projects are LSTA eligible to apply for available LSTA funds.
  - B. Prioritize LSTA eligible projects for the available LSTA funds.
  - C. Manage LSTA projects in accordance with prescribed State and federal guidelines.
  - D. Make recommendations to Director for retaining or implementing new programs to achieve Book Mobile Program goals and objectives
  - E. In concert with Director, other decisions required as situations arise in the LSTA funds administration process.

## VIII. LSTA Project Coordinators



## UTAH STATE LIBRARY DIVISION

1. Librarian III Consultants and other designated staff members may be given responsibility to coordinate an LSTA project, thus the LSTA Project Coordinator is a title, not a staff position, but has attached to it the following responsibilities and actions.

- A. Coordinate implementation of internal LSTA funded projects,
  - 1) Receive approval and project information from Director
  - 2) Be familiar with LSTA Project proposal and other involved staff members
  - 3) Consult with Grants Coordinator regarding LSTA requirements, as necessary
  - 4) Be familiar with required forms and reports, as necessary
  - 5) Prepare LSTA project forms and reports, as necessary
- B. Utilize LSTA funds for special projects or to purchase special supplies.
  - 1) Coordinate staff to contact vendors for pricing of supplies or materials
  - 2) Coordinate MOAs with Contracts/Grants Analyst, as necessary
  - 3) Coordinate processing and coding of invoices, and submitting bills for payment
- C. Compile outcome statistics and data for LSTA reports
  - 1) Track LSTA funds expenditures by category
  - 2) Review LSTA funds expenditures at least quarterly

2. Staff members with whom the LSTA Projects Coordinator interacts regarding LSTA funds or grants.

- A. Staff Member Position: Library Division Director
  - 1) Exchange information regarding LSTA budgeted funds, as necessary
  - 2) Receive guidance regarding internal and external LSTA funded projects,
  - 3) Present recommendations for LSTA funded projects,
- B. Staff Member Position: LSTA Grants Coordinator
  - 1) Exchange information regarding LSTA budgeted funds and requirements, as necessary
  - 2) Exchange information regarding LSTA funded projects, as necessary
  - 3) Review and coordinate LSTA related reports and documents for inclusion in IMLS reports, as necessary
- C. Staff Member Position: Contracts/Grants Analyst
  - 1) Consult with Contracts/Grants Analyst regarding necessary information and language for LSTA Memorandum of Agreements (MOA) for sub-grant awards, as necessary
  - 2) Assist Contracts/Grants Analyst with MOA follow-up, as necessary
  - 3) Assist Contracts/Grants Analyst with LSTA documents filing, as necessary
- D. Staff Member Position: Executive Secretary
  - 1) Contacts vendors for pricing of supplies and materials for LSTA Project



## UTAH STATE LIBRARY DIVISION

- 2) Creates and submits PO's for purchasing supplies and materials
  - 3) Processes and codes invoices,
  - 4) Submits bills to Finance for payment
3. Documents the LSTA Projects Coordinator creates, processes, actions and/or passes along.
- A. LSTA documents to complete and submit to LSTA Grants Coordinator:
    - 1) Project Proposal Form and Budget
    - 2) Final Report form to include in annual SPR for IMLS.
    - 3) \_\_\_\_\_
  - B. Develop, distribute, receive, review and action documents relevant to the LSTA project including;
    - 1) MOAs and other commitments, as necessary
    - 2) Expenditure documents, including invoices, as necessary
    - 3) LSTA Project Final Report
4. Decisions the LSTA Projects Coordinator makes regarding LSTA funds.
- A. Description of decisions:
    - 1) Consult with Director, Program Manager or Supervisor regarding how the Project fits within LSTA Goals and Objectives
    - 2) Prepare and distribute for approval LSTA Project Proposal Form
    - 3) Coordinate with Division Director, Finance Manager and Grants Coordinator on project grant period, reports and deadlines,
    - 4) Draft appropriate language for the Contracts/Grants Analyst to create appropriate MOAs for the project, as necessary
    - 5) Determine whether project participants are in compliance with LSTA requirements,
    - 6) Determine whether all required forms and documents are completed
    - 7) Determine whether Interim and Final Reports are properly completed by grant recipients
  - B. Other decisions required as situations arise in the LSTA funds administration process.

### **VIIIIX. Grants/Contracts Analyst**

1. The Grants/Contracts Analyst position responsibilities and actions related to LSTA funds administration include the following.
  - A. Draft, process and log all MOAs and contracts that use LSTA funds
  - B. Email appropriate MOA and contract forms to designated grantee, making sure they are submitted as necessary for grant monies
  - C. Provide coding for processing of checks related to LSTA MOAs and some contracts



## UTAH STATE LIBRARY DIVISION

- D. Mail checks associated with LSTA grants with original MOAs to designated grantee libraries
- E. Code Purchase Orders and bills that expend LSTA funds (i.e. large print books, books for recording, etc.)
- F. Contract and MOA Process:
  - 1) Receive request to draft or otherwise create contract or MOA
  - 2) Receive all information required to process requested MOAs (this includes names, addresses, vendor information, contact information, amounts, coding, etc.)
  - 3) Draft MOA (this may require several consultations with requesting staff member, or others)
  - 4) Route Draft to staff who originated request and to USL Financial Manager
  - 5) Upon Draft approval, email document (and attachments if necessary) to grantee for signature
  - 6) Submit to [Utah State Library](#) Director ~~Morris~~ and staff for signature upon receipt of signed MOA from grantee (make sure there are two copies for signature by Director)
  - 7) Assign MOA number to signed MOA and log appropriately
  - 8) Make copies of final MOA (number will depend on nature of MOA)
  - 9) If a check is immediately being cut, code a copy of the MOA and give to Business Office for check processing
  - 10) If a check is not immediately being cut, give a copy of MOA to staff person who originated request
  - 11) When check is received back from Finance, mail to grantee along with their copy of completed MOA
  - 12) Scan final MOA and save in shared drive
  - 13) File hard copy of MOA and associated attachments in files

2. Staff members with whom the LSTA Grants/Contracts Analyst interacts regarding LSTA funds or grants.

A. Staff Member Position: Library Division Director, LSTA Grants Coordinator, Program Managers, Project Coordinators,

- 1) Receive request and/or content for MOA and contracts
- 2) Drafting and other creation of MOAs and contracts
- 3) Signing of most MOAs and contracts
- 4) Track POs and fund expenditures for purchases using LSTA funds
- 5) Create and track MOA and contract invoices for services

B. Staff Member Position: USL Finance Manager and Staff exchange information regarding LSTA budgeted funds and requirements, as necessary

- 1) Coding of LSTA funds expended under MOA and/or contract
- 2) Budget
- 3) Check requests and coordination of check mailing

3. Documents created, processed, actioned and/or passed along.



## UTAH STATE LIBRARY DIVISION

- A. Documents log of created documents including the following,
  - 1) MOA numbers log,
  - 2) USL Contracts/MOA log,
  - 3) All MOAs and contracts for USL listed under Contracts/MOA folder on shared drive, Final MOAs log.
  
- B. All documents associated with individual contracts and MOAs are records that are usually maintained daily, especially during specific times when these are being processed, otherwise as necessary.

4. Decisions the LSTA Grants/Contracts Analyst makes regarding LSTA grants or funds.

———A. Preparing contracts or MOAs require specific information provided by the person requesting the contract or MOA.

- 1) LSTA contracts and MOAs require specific LSTA language in the MOA and have the LSTA attachments included as well.
- 2) Seek guidance from Director, Grants Coordinator or Project Supervisor, as necessary

B. Processing payments on bills, require specific codes provided by the Finance Manager or Program Manager, so documents can be appropriately coded for payment.

- 1) The person initiating the contract or MOA must tell the Analyst the funds being committed are LSTA.
- 2) The person initiating the contract or MOA must tell the Analyst the appropriate coding information

C. In concert with Director, other decisions required as situations arise in the LSTA funds administration process.

### **IX. Internal LSTA Funded Projects**

1. As noted in the Introduction, LSTA funds provided to USL by IMLS are available for use within federal guidelines at the discretion of the Director for LSTA eligible projects at the State level, or as funds permit at the local level through sub-grants from USL to local library agencies. Internal LSTA Projects are decided, funded and managed according to the following guidelines.

A. LSTA funding is used to purchase goods and services and wages that promote the Goals and Objectives described in the current 5-Year LSTA Strategic Plan (5YSP).

- 1) Discussions among the Director and Program Managers, Financial Manager, LSTA Grants Coordinator, and staff regarding funds allocation necessary to achieve the 5YSP establishes a preliminary budget for all



## UTAH STATE LIBRARY DIVISION

LSTA Projects.

- 2) Program Managers and Supervisors with commitment authority use the approved LSTA Budget line items as authority for expenditures.
- 3) Periodic review of the approved LSTA Budget makes necessary adjustments to internal projects.

B. Staff are encouraged to submit worthwhile LSTA eligible projects to further achieve 5YSP Goals and Objectives as opportunities arise.

- 1) An Internal LSTA Project Proposal form is prepared and submitted to the Director, through the LSTA Grants Coordinator and Financial Manager.
- 2) Review of LSTA Project Proposals requires coordination of staff responsibilities and involvement, as necessary.
- 3) Approved LSTA Internal Projects are added to the LSTA Budget line item.
- 4) See VII. LSTA Project Coordinators for more detail.

C. Recurring internal LSTA projects are those that are traditionally funded in consecutive years based on annual utilization, benefit provided and compliance with 5YSP Goals and Objectives.

- 1) Program Managers recommend annually an initial anticipated budget amount for the line item.
- 2) During the course of the year, line items are reviewed and adjusted as necessary to achieve the established Outcomes.
- 3) Program Managers, or Project Coordinators supervise the processing and coding of invoices, and submitting bills for payment.
- 4) Program Managers, or Project Coordinators prepare LSTA Outcomes reports for SPR and submit [via the online portal to the Grants Coordinator](#)

D. Non-recurring internal LSTA projects are those that are one-time projects and the project Objectives are achieved within the current fiscal year.

- 1) Program Managers and Staff recommend projects and request funding through the Project Proposal process
- 2) The Director approves/disapproves non-recurring projects based on LSTA Goals and Objectives and prioritization of available funds
- 3) The Director creates a project line item in the LSTA Budget
- 4) Program Managers or Project Coordinators supervise the processing and coding of invoices, and submitting bills for payment
- 5) Program Managers or Project Coordinators prepare LSTA Outcomes reports for SPR and submit to the Grants Coordinator

2. Staff members who are involved with the Internal LSTA funded projects include the following.

A. Staff Member Position: Library Division Director

- 1) Provides budget input for Internal Projects
- 2) Solicits recommendations regarding internal LSTA funded projects that support the Mission, Goals, and Objectives and fit the LSTA Plan
- 3) Approves Internal Projects



## UTAH STATE LIBRARY DIVISION

- 4) Reviews Outcomes of Internal Projects
  - B. Staff Member Position: USL Finance Manager
    - 1) Coordinate with Director, Grants Coordinator, and project managers/coordinators on LSTA budget information, as necessary
    - 2) Consult with Director, Grants Coordinator, and project managers/coordinators regarding necessary information for IMLS reports, as ~~necessary~~needed
    - 3) Assist Director, Grants Coordinator, and project managers/coordinators with LSTA required forms and reports to IMLS, as necessary
  - C. Staff Member Position: LSTA Grants Coordinator
    - 1) Coordinate with Director, Finance Manager, and project managers/coordinators on LSTA budget information, as necessary
    - 2) Consult with Director, Finance Manager, and project managers/coordinators regarding eligibility of proposed project to use LSTA funds, as necessary
    - 3) Assist Director, Finance Manager, and project managers/coordinators with LSTA required forms and reports to IMLS, as necessary
  - D. Staff Member Position: Program Managers and Supervisors
    - 1) Provides budget input for Internal Projects
    - 2) Prepare recommendations regarding internal LSTA funded projects that support the Mission, Goals, and Objectives and fit the LSTA Plan
    - 3) Supervise approved Projects
    - 4) Provide Outcomes reports to the Grants Coordinator for their projects, and provide input for the year end SPR report
  - E. Staff Member Position: LSTA Project Coordinators and Consultants
    - 1) Prepare recommendations regarding internal LSTA funded projects that support the Mission, Goals, and Objectives and fit the LSTA Plan
    - 2) Supervise approved Projects
    - 3) Provide Outcomes reports to the Grants Coordinator for their projects, and provide input for the year end SPR report
  - F. Staff Member Position: Contracts/Grants Analyst
    - 1) Consult with all other involved staff members regarding necessary information and language for LSTA Memorandum of Agreements (MOA) for approved projects, as necessary
    - 2) Assist other staff members with MOA follow-up, as necessary
    - 3) Assist other staff members with LSTA documents filing, as necessary
3. Documents created, processed, actioned and/or passed along.
- A. USL documents include:
    - 1) LSTA Project Proposal Form
    - 2) LSTA Budget spreadsheet



## UTAH STATE LIBRARY DIVISION

B. LSTA documents to complete and submit to IMLS:

- 1) Program Assurances for Grant Projects
- 2) Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Lobbying; Federal Debt Status; and Nondiscrimination
- 3) Annual SPR to IMLS.

C. Develop, distribute, receive, review and action LSTA program forms and documents including;

- 4) LSTA Project Areas and Information
- 5) Internal Project Proposal Form including Budget
- 6) LSTA Project Interim and Final Reports

4. Decisions regarding LSTA internal funded projects includes;

A. Compatibility with established Strategic Plan Goals and Objectives and with LSTA Plan Goals and Objectives.

B. Approved LSTA Budget line items represent authorization for expenditures for goods and services and wages.

C. Determine the essential information necessary to include in LSTA project documents and forms.

- 1) Coordinate with Director on project period and deadlines
- 2) Draft appropriate language about approved grants to Contracts/Grants Analyst to create appropriate MOAs for the project, as necessary
- 3) Determine whether Interim and Final Reports are properly completed by Project Coordinator

D. Other decisions required as situations arise in the LSTA funds administration process.

### **XI. External LSTA Funded Projects**

1. As noted in the Introduction, LSTA funds provided to USL by IMLS are available for use within federal guidelines at the discretion of the Director of USL for LSTA eligible projects at the State level, or as funds permit at the local level through sub-grants from USL to local library agencies. External LSTA Projects are decided, funded and managed according to the following guidelines.

A. Based on the LSTA funds available after all Internal Projects are funded, the decision may be made by the Director and Board to make a specific amount of additional funds available for local library use through a competitive application process titled the LSTA Sub-Grant Round.

- 1) The LSTA Sub-Grant Round is announced by the Grants Coordinator, and specific dates for ~~beginning to accept applications~~ the opening of the letter



## UTAH STATE LIBRARY DIVISION

of intent application through the end of the grant round cycle when Final Reports are due are determined.

- 2) See II. LSTA Grants Coordinator, 1.E. for details.
  - 3) Visit USL website at: <http://heritage.utah.gov/library/2014-lsta-grants> for detailed information and forms.
- B. ~~The Grants Coordinator uses~~Subgrantees submit the Final Report information for their project in the online portal. These reports are compiled in coordination with the Director and Finance Manager with final reports on internal projects to compile for the Annual Report for due to IMLS in December of each year. See II. LSTA Grants Coordinator, 1.C. for details.
- C. See II. LSTA Grants Coordinator, 1.G. for details.

2. Staff members who are involved with the External LSTA funded projects include the following.

- A. Staff Member Position: Library Division Director
  - 1) Provides budget input for external Grant Round
  - 2) Supervises LSTA Sub-Grant Round process
  - 3) Approves External Projects after reviewing Committee recommendations
  - 4) Reviews Outcomes of External Projects
- B. Staff Member Position: USL Finance Manager
  - 1) Coordinate with Director, Grants Coordinator on LSTA budget information, as necessary
  - 2) Consult with Director, Grants Coordinator regarding necessary information for IMLS reports, as necessaryneeded
  - 3) Assist Director and Grants Coordinator with LSTA required forms and reports to IMLS, as necessary
- C. Staff Member Position: LSTA Grants Coordinator
  - 1) See II. LSTA Grants Coordinator, 1.E. for details.
  - 2) Consult with Director, Finance Manager, and Review Committee Coordinators regarding eligibility of proposed projects to use LSTA funds, as necessary
  - 3) Ensure that all subgrantees sign required forms by IMLS and spend according to federal guidelines
  - 4) Assist Director, Finance Manager and Review Committee Coordinators with LSTA required forms and reports to IMLS, as necessary
- D. Review Committee Coordinators (not a staff position, but a responsibility)
  - 1) Organize Review Committee to review LSTA Sub-Grant applications in categories of Collection, Digitization and Technology projects
  - 2) Prepare recommendations from Committee members regarding whether or not to fund each project, using the Salesforce portal, a spreadsheet-form



## UTAH STATE LIBRARY DIVISION

- E. Staff Member Position: Contracts/Grants Analyst
- 1) Consult with LSTA Grants Coordinator regarding necessary information and language for LSTA Memorandum of Agreements (MOA) for approved projects, as necessary
  - 2) See VII. Grants/Contracts Analyst, 1. F. for details.
3. Documents required for the LSTA Sub-Grant Round process.
- A. LSTA Grants Coordinator develops, distributes, receives, reviews and actions LSTA sub-grant program forms and documents including;
- 1) LSTA Project Areas and Information
  - 2) Eligibility Criteria and DUNS Number Information
  - 3) Grant Applications Step-by-Step
  - 4) Sub-Grant Cycle Application Form [\(on Salesforce\)](#)
  - 5) Application Submission Review Checklist
  - 6) Proposed Budget Form [\(on Salesforce\)](#)
  - 7) ~~Local Funds and LSTA Funds Requested Form~~
  - 8) Partnership Statement Form
  - 9) LSTA Project Interim and Final Reports
- B. See II. LSTA Grants Coordinator, 1.E. and 3.B. for details.
4. Major decisions regarding LSTA external funded projects includes;
- A. Compatibility with established Strategic Plan Goals and Objectives and with LSTA Plan Goals and Objectives.
- B. Assess, review and action LSTA program forms and documents including;
- 1) LSTA Project Areas and Information
  - 2) Eligibility Criteria and DUNS Number Information
  - 3) Grant Applications Step-by-Step
  - 4) Sub-Grant Cycle Application Form [\(on Salesforce\)](#)
  - 5) Application Submission Review Checklist
  - 6) Proposed Budget Form [\(on Salesforce\)](#)
  - 7) ~~Local Funds and LSTA Funds Requested Form~~
  - 8) Partnership Statement Form
  - 9) LSTA Project Interim and Final Reports
- C. Forward [the Score Prioritized recommendations of the application Review Committee](#) to the Division Director for final decision ~~the Score Prioritized recommendations of the application Review Committees.~~
- 1) If the total amount of funds recommended by the committees is less than the funds available for sub-grant awards, approve all recommendations of the committees.
  - 2) If sufficient funds are available, libraries that submit more than one grant application will have all approved applications funded.



## UTAH STATE LIBRARY DIVISION

- 3) If the total amount of funds recommended by the committees is more than the funds available for sub-grant awards, approve those highest scoring sub-grants until all available funds are committed.
- 4) If sufficient funds are not available, libraries that submit more than one grant application will have only one approved grant funded.

### D. Usage of unexpended sub-grantee funds returned to the State.

- 1) In the event that sub-grantees cannot spend the full funding amount by the funding deadline, unexpended funds must be returned to the State Library before September 15<sup>th</sup> of the fiscal year. If sub-grantees return unexpended funds, decisions on how to use unexpended funds will be left to the discretion of the Library Division Director.

DE. See II. LSTA Grants Coordinator, 4.A. for more details.

EF. Other decisions required as situations arise in the LSTA funds administration process.

## XII. Reaching Persons with Limited English Proficiency

In the event that an individual wishing to apply for or receive further information about the LSTA Sub-Grant is limited English proficient (LEP), a bilingual staff member will be asked to translate for Spanish speakers. It is rare in the State of Utah to find another language other than English or Spanish spoken. However, if translation is needed in another language, the following agencies will be contacted to ask for translation assistance: the University of Utah's language department, Salt Lake City School District, and the Utah Office of Multicultural Affairs.

## XIII. Summary

Regardless of past practices, the practices and procedures outlined in this Procedures Manual will govern how USL administers LSTA funds in the future. Annually, USL will update the Manual of Procedures for LSTA Funds Administration to ensure that current procedures are being followed and are the most efficient and effective procedures for this organization. It is important that each staff member conscientiously follow the Procedures outlined herein, but document any procedures they feel are different or incomplete.

The potential problem prevented by establishing and following the procedures in this Manual is the possibility of losing LSTA funding from IMLS due to improper funds management and accountability. "Failure to comply with IMLS guidance may result in the withholding of grant funds, the suspension or termination of the Library Services and Technology Act (LSTA) grant, and/or the return of grant funds. It also may jeopardize any pending or future applications with IMLS." Additionally, following the LSTA Funds



## UTAH STATE LIBRARY DIVISION

Administration Procedures in this Manual will protect USL employees involved with federal funds management from accusations or charges of mismanagement or misconduct, which would be an even more serious situation.

### **XII. Glossary**

#### 5-Year LSTA Strategic Plan (5YSP):

Under the Grants to States program, each SLAA must submit to IMLS a “State plan” detailing certain goals, assurances, and procedures for a five year period. The plan must identify the SLAA's library needs and set forth activities to be taken toward meeting the identified needs supported with the assistance of LSTA funds.

#### Allotment Table:

LSTA sets the base amount that each state receives (before distributing the rest of the appropriated funds on a per capita basis) at \$680,000. The Allotment Table lists total funds awarded to each SLAA for a given FY.

#### Catalog of Federal Domestic Assistance (CFDA):

For all LSTA programs/projects and sub-grants the CFDA# is 45.310.

#### DUNS Number:

This unique nine-digit identification number, Data Universal Numbering System, is Dunn & Bradstreet's copyrighted, proprietary means of identifying business entities on a location-specific basis. IMLS requires every LSTA funds recipient to have this unique number for accountability purposes.

#### Federal Funding Accountability and Transparency Act (FFATA) reporting:

FFATA requires that information on federal awards (grants and contracts) be available to the public by a single searchable website, <http://www.USASpending.gov>.

#### FFATA Subaward Reporting System (FSRS):

FFATA requires grant award recipients (prime awardees) to report any subgrant equal to or greater than \$25,000.00 by the end of the month following the month in which the subgrant is awarded. <http://www.fsr.gov>

#### Financial Status Report (FSR):

This is a MS Excel form that SLAAs use to report their financial transactions for a given fiscal year from a given Grant Award Notification. It is submitted annually not later than December 30.

#### GAX:

This is a General Accounting Expenditure, a periodic request for payment of expenditures specific to non-contracted vendors for goods or services.

#### Grant Award Notification:



## UTAH STATE LIBRARY DIVISION

The Grant Award Notification provides the amount of the LSTA allotment, the dates of the grant period, the CFDA number, and the assigned grant award number. It designates the two-year period for the LSTA grant that begins October 1, of the federal fiscal year, and ends September 30, two years later.

### Grant Award Guidance:

The annual letter of guidance, with other associated documents, from IMLS that accompanies the Grant Award Notification.

### Grant Cycle Calendar:

An IMLS published calendar of required actions and deadlines for SLAAs to follow during the grant cycle.

### Grants to States Program:

Under the Grants to States program, the Library Services and Technology Act authorizes the Director of the Institute of Museum and Library Services to provide funds to a State Library Administrative Agencies under authority of 20 U.S.C. § 9133(a).

### Information Update Form:

The SLAA must submit a revised Information Update form once a year and whenever there are changes in any key staff position of State Librarian, LSTA Grants Coordinator or Financial Manager.

### Institute of Museum and Library Service (IMLS):

IMLS is the federal government agency that administers the federal Library Services and Technology Act (LSTA) appropriations through their Grants to States program.

### IMLS Program Officer:

IMLS is organized with Grants to States Program Officers assigned to all SLAAs that receive LSTA funds to act as liaison with IMLS and provide assistance as necessary. Utah's Program Officer is Michele Farrell, mfarrell@imls.gov, 202-653-4656.

### Library Services and Technology Act (LSTA):

In 1956, Congress passed the Library Services Act (LSA) to stimulate use of State and local funds for library improvement throughout the nation. In 1996, Congress modified the priorities of the Federal program and Congress enacted the Library Services and Technology Act (LSTA) of 1996, Subchapter II of the Museum and Library Services Act, Pub.L. 104-208, which recognized the opportunities afforded by new technologies in promoting access to learning and information resources in all types of libraries for individuals of all ages. Most recently, Congress enacted the Museum and Library Services Act of 2010 (Pub. L. 111-340, codified at 20 U.S.C. § 9101 et seq.), which also incorporates Library Services and Technology Act (LSTA).

### LSTA Interim and Final Reports:

In order for USL to be able to comply with IMLS requirements for reporting LSTA expenditures and programs/projects using the SPR, USL must collect relevant



## UTAH STATE LIBRARY DIVISION

information from program/project administrators and sub-grant recipients. The submitted Interim and Final Report forms provide that information to the LSTA Grants Coordinator.

### Maintenance of Effort (MOE):

The Library Services and Technology Act (LSTA) helps ensure that federal dollars enhance and do not replace state support for library services. To receive the full amount allowed by the LSTA Grants to States formula, a state must maintain its financial support for library programs and services at not less than the average amount reported for the previous 3 years.

### Memorandum of Agreement (MOA):

The formal written agreement between USL and a sub-grant recipient that establishes specific conditions and requirements for the LSTA grant between USL and the grant recipient library.

### PRC:

This is a commodity-based payment for reimbursement of expenditures specific to MOA or contracted vendor service or goods.

### Quarterly Grant Accrual Reports:

Grantees must report grant accruals on a quarterly basis to IMLS. Each quarter's accrual must represent the total expenses for active grant awards that a grantee has incurred during the grant period but has not yet submitted to IMLS for reimbursement.

### RE:

This is an invoice for receivables, a periodic/monthly request for federal draw-down funds entered into State accounting system.

### Request for Advance or Reimbursement Form SF-270:

A federal government form for requesting LSTA funds from IMLS. Grant payments are made by direct deposit to USL's designated bank account through the Department of Treasury payment system.

### Request for Proposal (RFP):

When soliciting contractors and vendors to provide a service for USL, the needs and requirements are most usually communicated to potential contractors through the public announcement of a Request for Proposal to which potential contractors respond with explanation of how they can satisfy USL's needed services and how much they would charge for their services.

### Review Committee Coordinators:

During the Sub-grant process, applications from Utah libraries for LSTA grants are reviewed by independent ad hoc committees that are organized and coordinated by USL staff members familiar with the grant application review process. These Coordinators distribute applications to review committee members, answer questions, collect and compile members' comments and recommendations, forward that



## UTAH STATE LIBRARY DIVISION

information to the LSTA Grants Coordinator, and participate in the final decision process with the Director.

### SAM.gov Resources:

System for Award Management where USL provides agency information and certifications as necessary. <http://sam.gov>

### State Legal Officer's Certification:

A certification form signed by the state's legal officer (Attorney General) that the State Library is the official State Agency with authority under State law to develop, submit, and administer or supervise the administration of the State Plan under the Library Services and Technology Act, and that the State Librarian and designated Financial Manager are the authorized individuals to administer the funds.

### State Library Administrative Agency (SLAA):

The designated agency within each state government authorized by statute to administer LSTA funds awarded to the state by the federal government.

### Statement of Program Assurances and Certifications:

All SLAA receiving LSTA assistance must comply with applicable statutes and regulations, and to receive Federal assistance, all applicants must provide the signed Statement annually that their agency is in compliance with the following:

- Legal Authority and Capability
- Internet Safety
- State Plan for LSTA
- Compliance with IMLS Regulations
- Federal Funding Accountability and Transparency Act
- Trafficking in Persons
- Nondiscrimination
- Debarment and Suspension
- Drug-Free Workplace
- Federal Debt Status
- Certification Regarding Lobbying Activities
- General Certification of Compliance with all other Federal laws, executive orders, regulations, and policies governing the program

### State Program Report:

The SPR contains distinct LSTA programs/projects and statistical data, and is due to IMLS no later than December 30 annually.



# UTAH STATE LIBRARY DIVISION

## **XIV. Appendix A – Grant Project Proposal Form**



## UTAH STATE LIBRARY DIVISION

### **XV. Appendix B – Grant Project Approval Form**