

Village of Mukwonago  
**Notice of Meeting and Agenda**

**LIBRARY BOARD OF TRUSTEES MEETING**  
**Thursday, August 11, 2022**

Time: **6:00 pm**

Place: **Mukwonago Community Library, 511 Division Street, Mukwonago, WI 53149**

**1. Call to Order**

**2. Roll Call and Introduction of Guests**

**3. Comments from the Public**

*Information and comment may be received from the public by the Library Board, but solely as to matters that appear on the Agenda for that meeting. The public comment session shall last no longer than 15 minutes and individual presentations are limited to (3) minutes per speaker. These time limits may be extended at the discretion of the Chief Presiding Officer. The Library Board may have limited discussion on the information received, however, no action will be taken on issues raised during the public comment session unless they are otherwise on the agenda for that meeting. Public comments should be addressed to the Library Board as a body. Presentations shall not deal in personalities or personal attacks on members of the Board, the applicant for any project, or Village employees. Comments, questions and concerns shall be presented in a respectful and professional manner. Any questions to an individual member of the Library Board or Staff will be deemed out of order by the Presiding Officer.*

**4. Approval of Minutes**

4.a Minutes from July 14, 2022

[Library Board Minutes 20220714\\_unapproved.pdf](#)

**5. Audit and Approval of Monthly Expenditures**

5.a Invoices and Executive Summary for August 2022

[Financial 2022 August Executive Summary 20220811.pdf](#)

[Financial 2022 August Invoices 20220811.pdf](#)

**6. Committee Reports**

6.a Building & Grounds Committee - last met July 13, 2022

[Building and Grounds Committee Minutes 20220713\\_unapproved.pdf](#)

6.b Finance Committee - last met July 25, 2022

[Finance Committee Minutes 20220725\\_unapproved.pdf](#)

6.c Personnel Committee - last met June 2, 2022

6.d Policy Committee - last met May 26, 2022

6.e Strategic Planning Committee - last met August 1, 2022

[Strategic Planning Committee Minutes 20220718\\_approved.pdf](#)

[Strategic Planning Committee Minutes 20220725\\_approved.pdf](#)

[Strategic Planning Committee Minutes 20220801\\_unapproved.pdf](#)

6.f Grutzmacher Collection Committee - last met August 4, 2022

[Grutzmacher Collection Committee Minutes\\_unapproved 20220804.pdf](#)

## **7. Library Director Report**

7.a Library Director Report for August

*Director Report is for information only.*

[Library Director Report August 2022.pdf](#)

## **8. Discussion/Action Items**

8.a Wisconsin Trustee Training Week

Discussion and possible action on annual Wisconsin Trustee Training Week opportunities from August 22 through August 26.

[Trustee Training Flier\\_2022.pdf](#)

8.b Grutzmacher Collection

Discussion and possible action on the Grutzmacher Collection.

8.c Strategic Plan Community Survey

Discussion and possible action on Strategic Planning Committee's proposed community survey.

[DRAFT MCL Strategic Planning Community Survey for Library Board 20220811.pdf](#)

8.d IMLS National Leadership Grants for Libraries

Discussion and possible action on pursuing IMLS National Leadership Grants for Libraries for FY 2023.

[IMLS National Leadership Grants for Libraries FY2023.pdf](#)

8.e Preliminary Budget Planning

Discussion and possible action on issues identified by Finance Committee in preparation for budgeting for FY 2023.

[SWOT Analysis of Finance Issues for Preliminary Budget Planning FY 2023.pdf](#)

[Preliminary Budget Numbers FY 2023.pdf](#)

8.f Trustee Essentials Chapter 9

Discussion on the questions found at the end of Trustee Essentials Chapter 9.

[Trustee Essentials Chapter 09.pdf](#)

**9. Closed Session**

Closed session pursuant to Wis. Stats § 19.85 (1) (c) (Compensation and Evaluation. Considering employment, promotion, compensation or performance evaluation data of any public employee subject to the jurisdiction or authority of governing body.) Annual Library Director evaluation.

**10. Open Session**

Motion to reconvene into open session pursuant to Wis. Stats. §19.85(2) for possible discussion and/or action concerning any matter discussed in closed session.

**11. Referral Items**

**12. Confirm Next Meeting Date**

The next regular scheduled Library Board meeting is September 8, 2022, at 6:00pm.

**13. Adjourn**

It is possible that a quorum of, members of other governmental bodies of the municipality may be in attendance at the above stated meeting to gather information. No action will be taken by any governmental body at the above stated meeting other than the governmental body specifically referred to above in this notice. Please note, upon reasonable notice, efforts will be made to accommodate the needs of individuals with disabilities through appropriate aids and services. For additional information or to request this service, contact the Municipal Clerk's Office, (262) 363-6420.

## **DRAFT MINUTES OF THE LIBRARY BOARD MEETING**

**Thursday, July 14, 2022**

Time: **6:00 pm**

Place: **Mukwonago Community Library, 511 Division St., Mukwonago, WI 53149**

### **Call to Order**

The President H. Pringle called the meeting to order at 6:00 p.m. located in the Mukwonago Community Library Community Room, 511 Division St., Mukwonago, WI 53149

### **Roll Call and Introduction of Guests**

Board Members Present

E. Brill  
J. Darin  
J. Gasser  
S. Kaufman  
E. Pautz  
M. Penzkover  
H. Pringle  
C. Stienstra  
D. Whalen

Excused

M. Lacock  
D. Magolan

Also Present

A. Armour, Library Director

### **Comments from the Public**

None.

### **Approval of Minutes**

E. Brill/J. Darin motioned to approve the minutes from the Board of Trustees meeting on June 9, 2022. Unanimously carried.

### **Audit and Approval of Monthly Expenditures**

S. Kaufman/M. Penzkover motioned to approve the monthly expenditures as presented. Unanimously carried.

**Committee Reports** *Committee chairperson will report on any recent committee activity. There will be no discussion or action on anything reported out.*

Building & Grounds Committee - July 13, 2022 - items related to that meeting are on the agenda, several items have no current action but will be discussed.

Finance Committee - February 10, 2022

Personnel Committee - June 2, 2022

Policy Committee - May 26, 2022

**Library Director Report** The Library Director Report is for information only.

In addition to the written report A. Armour also shared information about the ALA conference she attended.

### **Discussion/Action Items**

Officer Elections - Discussion and possible action on voting for the positions of Secretary and President.

H. Pringle noted that the positions of secretary and president are up for voting.

Currently there are two nominated individuals for those positions, E. Pautz for secretary and H. Pringle for president. No additional nominations were presented.

J. Gasser/M. Penzkover motioned to approve the nomination and election of E. Pautz as Secretary and H. Pringle as President. Unanimously carried.

Employee Recognition - Discussion and possible action to approve the allowance of one additional paid day of vacation in the year an employee reaches a milestone anniversary with the Village.

A. Armour noted that this has been approved at the Village level. Additional information was given regarding who at MCL would be eligible for this milestone recognition. It was explained that this would only be for the current year and the actual policy would be brought to the Personnel Committee for review.

D. Whalen/C. Stienstra motioned to approve an extra day of vacation for Mary Jo Isley and Chris Stape based on longevity of employment. This will then be brought to the Personnel Committee so a draft of a new policy can be prepared for final Board review. Unanimously carried.

Waukesha County Library Plan Minimum to Exempt Certification - Discussion and possible action on certifying and approving Waukesha County Library Plan Minimum to Exempt Standards.

H. Pringle noted that this is an annual document that needs to be submitted to exempt the village residents from being taxed twice.

D. Whalen/E. Brill motioned to approve the Waukesha County Library plan minimum to exempt certification document and submit it to Bridges by August 31st.

Unanimously carried.

HVAC Emergency Repairs - Discussion and possible action on recommendations from the Building & Grounds Committee regarding the emergency HVAC repairs from 2021 through today.

M. Penzkover noted that most of this has been paid out of the operating budget, it was determined that some of it could be drawn from capital funds. Per recommendation from the Building and Grounds Committee, A. Armour created an itemized list of the capital items and presented a resolution that outlines what could be coming from capital funds.

M. Penzkover/E. Brill motioned to approve Resolution 2022-01 as presented.

Unanimously carried.

Community Room AV System - Discussion and possible action on recommendations from the Building & Grounds Committee regarding community room AV system

M. Penzkover noted that the Community Room AV system has had issues and a few programs have had to ultimately be canceled. The AV company Metro Sound came to MCL and gave a quote to repair the issues. The Buildings and Grounds Committee has directed A. Armour to contact an additional AV firm as the original quote is sizeable. It was also discussed that the Buildings and Grounds Committee is hoping to future proof the AV system to allow for subsequent changes in technology. This agenda item will be deferred to a future meeting.

Property Maintenance - Discussion and possible action on recommendations from Building & Grounds Committee regarding property maintenance needs.

M. Penzkover noted that this is a work in progress to determine what the best route will be going forward. Several ideas were discussed, to include contacting service groups or hiring another retired handyman if O. Zimmermann is unable to return.

This agenda item will be deferred to a future meeting.

Phone System - Discussion and possible action on recommendations from the Building & Grounds Committee regarding the Village's new phone system.

M. Penzkover noted that the Village did get a new phone system. MCL is waiting to determine what will work best as there are opportunities to update what is currently

in place to better serve MCL and its patrons. This agenda item will be deferred to future meetings for both the Building & Grounds committee and the Board.

Director Evaluation - Discussion and possible action on approving the performance review form for the Library Director's annual evaluation.

D. Whalen noted that there is a 9 page document that will need to be reviewed by each Board Member. It outlines A. Armour's goals that had been previously approved. There is a correction in regards to the due date, the evaluation form is actually due on August 1st and should be sent to D. Whalen via her library email or via the post office. A. Armour will update the evaluation and send it out to all Board Members immediately following this meeting.

D. Whalen /J. Darin motioned to approve the evaluation form as presented.

Unanimously carried.

Review Trustee Essentials - chapter 8

**Trustee Essentials Chapter 8: Developing the Library Budget-** H. Pringle reviewed information on the applicable topics. The board reviewed the discussion questions for the section of the *Trustee Essentials*.

### **Referral Items**

Schedule a Personnel Committee meeting to adapt verbiage for an employee milestone recognition policy that will mimic the newly created Village Employee Anniversary Recognition policy.

### **Confirm Next Meeting Date**

Regular Library Board on Thursday August 11, 2022 at 6:00pm.

### **Adjournment**

D. Whalen/J. Gasser motioned to adjourn the meeting. Unanimously carried. Meeting was adjourned at 6:38pm.

# Mukwonago Community Library Executive Summary 2022

8/11/2022

Account	Amended Budget	Amount Used	Account Balance	% of Budget Used
5110 - Salaries & Wages	559,332.00	298,292.01	261,039.99	53.3%
5112 - Social Security	44,355.00	22,495.36	21,859.64	50.7%
5152 - Retirement	41,145.00	21,811.01	19,333.99	53.0%
5154 - Health	64,788.00	42,357.94	22,430.06	65.4%
5158- OPEB Payout	10,000.00	0.00	10,000.00	0.0%
5159 - Other Fringe Benefits	3,880.00	1,694.03	2,185.97	43.7%
5219 - Professional Services	4,000.00	3,272.00	728.00	81.8%
5220 - Contractual Services	16,000.00	17,670.98	(1,670.98)	110.4%
5221 - Water & Sewer	3,500.00	1,264.62	2,235.38	36.1%
5222 - Electric	30,000.00	16,384.81	13,615.19	54.6%
5224 - Gas	15,000.00	7,785.25	7,214.75	51.9%
5225 - Telephone	9,000.00	3,770.77	5,229.23	41.9%
5226 - Insurance	8,000.00	-1192.02	9,192.02	-14.9%
5310 - Outside Services	20,000.00	14,551.26	5,448.74	72.8%
5311 - Supplies	20,000.00	11,942.02	8,057.98	59.7%
5312 - Printing	500.00	571.17	(71.17)	114.2%
5314 - MetaSpace 511 Equip/supplies	5,000.00	3,996.13	1,003.87	79.9%
5315 - Postage	500.00	184.01	315.99	36.8%
5326 - Periodicals	2,700.00	2,725.22	(25.22)	100.9%
5327 - Newspapers	1,800.00	1,093.40	706.60	60.7%
5328 - Books	70,000.00	39,182.07	30,817.93	56.0%
5329 - AV Materials	12,000.00	7,255.77	4,744.23	60.5%
5330- The Thingery	4,900.00	1,728.89	3,171.11	35.3%
5331 - Programming	10,000.00	4,772.79	5,227.21	47.7%
5332 - Mileage	2,000.00	144.92	1,855.08	7.2%
5333 - Outreach	2,000.00	1,505.72	494.28	75.3%
5335 - Training & Travel	5,000.00	1,793.57	3,206.43	35.9%
5340 - Digital Materials	10,000.00	5,178.53	4,821.47	51.8%
5341 - Cafe	23,713.00	23,713.00	0.00	100.0%
5343 - Data Lines	1,200.00	600.00	600.00	50.0%
5344 - Shared County Databases	22,772.00	12,772.00	10,000.00	56.1%
5395 - Repairs & Maintenance	20,000.00	37,773.01	(17,773.01)	188.9%
5399 - Other	5,000.00	2,127.85	2,872.15	42.6%
5811 - Technology Equipment	18,904.00	11,896.69	7,007.31	62.9%
<b>TOTAL Budget Accounts</b>	<b>1,066,989.00</b>	<b>621,114.78</b>	<b>445,874.22</b>	<b>58.2%</b>
<i>Donation Accounts</i>				
Balance from 2021	<b>53,164.45</b>			
4890 - Donations Revenue 2022			15,015.15	
5806 - Donation Expenditures 2022			29,839.24	
<b>TOTAL Donation Accounts</b>	<b>38,340.36</b>		<b>(14,824.09)</b>	
<b>OVERALL TOTAL</b>			<b>431,050.13</b>	



Mukwonago Community Library  
REVENUE 2022 Year End

Department Name	2022 Budget	Collected as of 7/31/2022	
Property tax	474,105	399,195	84%
Inter Gov Revenue	569,484	286,243	50%
Copies	5,000	2389	48%
Material Replacement	1,000	736	74%
Book Sale Revenue	3,500	2,128	61%
Faxes	500	266	53%
Fines	13,000	9,665	74%
Meeting Room Fees	0	515	
Interest Revenue	500	808	162%
 Total Revenue	 <b>1,067,089</b>	 <b>701,945</b>	 <b>66%</b>
	End of July Goal		58%

**MUKWONAGO COMMUNITY LIBRARY**  
**ACCOUNT #440-5511 LIBRARY**  
**August 11, 2022**

Account	Vendor	Memo	Amount
5219 Professional Services	Baker Tilly Virchow Krause- Village Charge	Audit Progress Bill #4	84.94
5219 Professional Services	Baker Tilly Virchow Krause- Village Charge	Final Audit Bill	209.35
5219 Professional Services	Hippenmeyer, Reilly & Blum	NAGPRA Consult	240.00
5220 Contracted Services	Envisionware	Maintenance Renewal	3063.57
5220 Contracted Services	Johnson Controls Security	4/21/22-7/31/22 CREDIT	-10.06
5220 Contracted Services	Johnson Controls Security	4/21/22-7/31/22 CREDIT	-48.53
5220 Contracted Services	Johnson Controls Security	4/21/22-7/31/22 CREDIT	-41.48
5220 Contracted Services	Johnson Controls Security	8/1/22-10/31/22	1742.04
5221 Water-Sewer	Village Of Mukwonago	Q2 Bill	650.12
5222 Electric	WE Energies	June	3810.55
5224 Gas	WE Energies	June	617.45
5225 Telephone	Century Link -Village Charge	5/21/22-6/20/22	183.95
5225 Telephone	Century Link -Village Charge	6/21/22-7/20/22	183.95
5225 Telephone	Charter Communications- Village Charge	6/27/22-7/26/22	293.61
5226 Insurance Premiums	R & R Insurance	Insurance Credit	-113.90
5310 Outside Services	Alsco	Mats & Dusters	28.47
5310 Outside Services	America Aquaria	Fish Tank Maintenance July	85.00
5310 Outside Services	Citizens Bank	Credit Card Merchant Fee	83.59
5310 Outside Services	Civic plus- Village Charge	Website Maintenance	300.00
5310 Outside Services	Great America Financial Services	8/10/22-9/9/22	423.76
5310 Outside Services	Klassy Kleaners	July Cleaning	1200.00
5310 Outside Services	Unique	Placements	9.85
5310 Outside Services	Unique	Placements	19.70
5311 Supplies	Air Delights - Village Credit Card	Wall Air Fresheners	65.88
5311 Supplies	Amazon Business	General office supplies	63.48
5311 Supplies	Amazon Business	Tablet Holder	20.98
5311 Supplies	Dynamic Awards & Apparel LLC	Name Tags	16.00
5311 Supplies	Home Depot- Village Charge	White Rags	88.26
5311 Supplies	Impact	Shipping on toner	20.48
5311 Supplies	OfficePro- Village Charge	Copy Paper	19.99
5311 Supplies	Quill	Copy Paper	124.48
5311 Supplies	Quill	Toner	71.09
5311 Supplies	Quill	Processing Supplies	363.60
5311 Supplies	Quill	Hard wound Towels	117.64
5311 Supplies	Quill	Cardstock	10.48
5311 Supplies	Quill	Cleaning Supplies	450.85
5311 Supplies	Quill	Office Supplies	62.24
5311 Supplies	Walmart- Village Credit Card	Cleaning Supplies	57.69
5311 Supplies	Walmart- Village Credit Card	NAGPRA Supplies	36.12
5312 Printing	Central Offices- Village Charge	7/1/22-7/31/22 Lease	22.64
5312 Printing	James Imaging	4/1/22-6/30/22 Copies	57.66
5314 MetaSpace 511 Equip-Si	Amazon-Business	Program supplies	73.14
5314 MetaSpace 511 Equip-Si	Cricut - Village Credit Card	Dream font	4.71
5314 MetaSpace 511 Equip-Si	Epilog Laser- Village Credit Card	Laser parts	346.00

Account	Vendor	Memo	Amount
5315 Postage	Postage Used June		9.74
5328 Books	Amazon Business	Books	129.26
5328 Books	Baker & Taylor	Books	19.07
5328 Books	Baker & Taylor	Books	1394.63
5328 Books	Baker & Taylor	Books	103.47
5328 Books	Baker & Taylor	Books	627.96
5328 Books	Baker & Taylor	Books	593.46
5328 Books	Baker & Taylor	Books	49.60
5328 Books	Baker & Taylor	Books	168.07
5328 Books	Baker & Taylor	Books	5.65
5328 Books	Baker & Taylor	Books	46.33
5328 Books	Baker & Taylor	Books	277.64
5328 Books	Baker & Taylor	Books	768.00
5328 Books	Baker & Taylor	Books	39.41
5328 Books	Baker & Taylor	Books	16.39
5328 Books	Baker & Taylor	Books	85.02
5328 Books	Baker & Taylor	Books	1396.47
5328 Books	Brodart Co.	Books	345.59
5328 Books	Brodart Co.	Books	353.00
5328 Books	Brodart Co.	Books	93.51
5328 Books	Brodart Co.	Books	292.09
5328 Books	Cengage	Books	115.96
5328 Books	Cengage	Books	60.78
5328 Books	Cengage	Books	43.98
5328 Books	Cengage	Books	22.39
5328 Books	Center Point	Books	54.54
5329 AV Material	Amazon Business	DVDs	979.44
5329 AV Material	Midwest Tape	Audio Books	286.93
5329 AV Material	Midwest Tape	Audio Books	39.99
5329 AV Material	Midwest Tape	Audio Books	67.99
5330 Thingery	Amazon Business	thingery items	855.94
5331 Programming	Amazon Business	Program Supplies	75.90
5331 Programming	Amazon Business	YS Program supplies	37.99
5331 Programming	Amazon Business	Adult program supplies	28.80
5331 Programming	Corey Geiger	Author Visit	50.00
5331 Programming	Dollar General- Village Credit Card	Bingo Prizes	25.00
5331 Programming	Domino's Pizza- Village Credit Card	Teen Program Pizza	57.34
5331 Programming	Domino's Pizza- Village Credit Card	Teen Program Pizza	33.00
5331 Programming	Domino's Pizza- Village Credit Card	Teen Program Pizza	63.94
5331 Programming	Domino's Pizza- Village Credit Card	Teen Program Pizza	37.40
5331 Programming	School Life- Village Credit Card	Brag Tags	183.45
5335 Training & Travel	ALA Store- Village Credit Card	Strategic Plan book	71.59
5340 Digital Materials	Elegant Themes- Village Credit Card	Web site developer	89.00
5340 Digital Materials	Interactive Services	Wowbrary 5/16/22-5/15/23	497.60
5340 Digital Materials	MailChimp- Village Credit Card	Newsletter-August	69.99
5340 Digital Materials	Midwest Tape	Hoopla July	466.59
5395 Repairs & Maintenance	Fire Detection Group	Replace annunciator, detector &	1510.50

Account	Vendor	Memo	Amount
5395 Repairs & Maintenance	Illingworth-Kilgust	Liebert unit condenser fan and l	1322.00
5395 Repairs & Maintenance	Illingworth-Kilgust	Motor Bearings and alignment f	5490.00
5395 Repairs & Maintenance	Roman Electric	Fix lights and fixture	359.42
5395 Repairs & Maintenance	Zoro- Ron's Credit card	Air Filters	64.08
5399 Other	UKG Payroll Processing	Processing Fee	291.50
581100 Equip < \$5,000	Amazon Business	iPad Mini	3100.14
<b>TOTAL REGULAR ACCOUNTS</b>			<b>\$ 38,376.87</b>
5806 Donation Expenditure	Amazon Business	Donation special request to pur	100.12
5806 Donation Expenditure	DNR- Village Credit Card	State Park Pass/ SLP Prize	28.00
5806 Donation Expenditure	Hahn Ace- Village credit card	SLP Prize	24.99
5806 Donation Expenditure	Northern Laser Systems	Service Call & Filters	1015.00
Donation Designated Funds	HP Inc	4 Laptop PCs	7663.96
<b>Total Donation Expenses</b>			<b>\$ 8,832.07</b>
Director	Treasurer	To Be Reimbursed	7817.07
		Regular Donation Expenses	1015.00
Secretary		<b>Total Expenses</b>	<b>\$ 47,208.94</b>

Village of Mukwonago  
**DRAFT Minutes of Building & Grounds Committee Agenda**  
**LIBRARY BOARD OF TRUSTEES MEETING**  
**Wednesday, July 13, 2022**

Time: **6:00 pm**

Place: **Mukwonago Community Library**

**1. Call to Order**

Committee Chair M. Penzkover called the meeting to order at 6:01pm.

**2. Roll Call and Introduction of Guests**

Committee Members Present

E. Brill  
J. Gasser  
H. Pringle  
M. Penzkover  
S. Kaufman

Also Present

A. Armour, Library Director

**3. Approval of Minutes**

E. Brill motioned to approve the minutes from the March 28, 2022 Building and Grounds Committee meeting. H. Pringle seconded. S. Kaufman abstained as she wasn't on the Committee at that time yet. Unanimously carried.

**4. Discussion/Action Items**

**4.a Phone System**

Discussion and possible action on the costs and logistics with potentially adopting the Village's new phone system.

- A. Armour that the Village Board had approved the contract for a new phone system with Vonage on June 15 and had purchased hardware at the end of the month. The Committee determined they needed more information and directed A. Armour to draft a letter to send to the Village with topics discussed about technical and fiscal questions.

**4.b HVAC Emergency Repair**

Discussion and possible action on the emergency HVAC repairs from 2021 through today.

- A. Armour presented a list of the emergency HVAC repairs she has to authorize since September. The Committee directed her to create a list of the capital expenses incurred in 2022 and present it to the Library Board on July 14 to consider using transferring capital funds to cover those costs.

**4.c Property Maintenance**

Discussion and possible action on meeting property maintenance needs.

- A. Armour provided an update to the Committee regarding O. Zimmerman's need to scale back his landscape duties for health reasons. The Committee directed A. Armour to explore options that are within the regular budget including hiring a second handyman and contacting service groups.

#### **4.d Fire Control System**

Discussion and possible action on updates about the fire control system.

- A. Armour shared that the fire panel has been sending out false alarms. A recent emergency fix involved replacing a smoke detector in the teen area, replacing the annunciator in the front hallway, and swapping out the display on the fire control panel. So far the fire control system is working properly, but A. Armour advised the Committee that the fire control panel may need to be replaced at some point.

#### **4.e Community Room AV System**

Discussion and possible action on updates about the community room AV system.

- A. Armour shared that the staff have struggled to run programs in the community room as the AV system is unreliable. H. Pringle confirmed and shared that he recently attended a program that was interrupted by this equipment. A. Armour shared a proposal from Metro Sound showing the updates they would recommend to make the system future-proof and user-friendly. The Committee directed A. Armour to obtain at least one more proposal for comparison and they will review them at the next Committee meeting.

### **5. Referral Items**

#### **6. Confirm Next Meeting Date**

The Committee will next meet on Monday, August 8, 2022.

#### **7. Adjourn**

J. Gasser/S. Kaufman voted to adjourn the meeting. Meeting adjourned at 6:56pm.

Minutes submitted by Abby Armour

**DRAFT MINUTES OF THE LIBRARY BOARD MEETING – FINANCE  
COMMITTEE**

**Monday, July 25, 2022**

Time: **1:00 pm**

Place: **Mukwonago Community Library**

**Call to Order**

Committee Chair S. Kaufmann called the meeting to order at 1:03.

**Roll Call and Introduction of Guests**

Board Members Present

J. Gasser  
S. Kaufman  
H. Pringle  
C. Stienstra

Also Present

A. Armour, Library Director

**Approval of Minutes**

3.a Minutes from February 10, 2022

H. Pringle moved to approve the minutes of February 10, 2022. S. Kaufman seconded. C. Stienstra abstained as she wasn't on the Committee at that time yet. Unanimously carried.

**Discussion/Action Items**

4.a Proposal to Update Expenditure Lines for FY 2023

Discussion and possible action on Director's proposal to change the expenditure lines for FY 2023.

C. Stienstra moved to approve the change to expenditure lines for FY 2023 as presented. J. Gasser seconded. Unanimously carried.

4.b Preliminary Budget Planning

Discussion and possible action regarding preliminary budget planning for FY 2023.

A. Armour presented information to the Committee regarding the many issues she believes will have a significant impact on next year's budget including

inflation, succession planning, and adjacent county funding changes. The Committee requested she present these concerns to the full Library Board on August 11.

### **Referral Items**

### **Adjournment**

H. Pringle motioned to adjourn. C. Stienstra seconded. Adjourned at 2:41pm.

Minutes submitted by Abby Armour

DRAFT



Village of Mukwonago

**MINUTES OF THE STRATEGIC PLANNING COMMITTEE MEETING**  
**Monday, July 18, 2022**

Time: **5:00 pm**

Place: **Mukwonago Community Library, 511 Division St., Mukwonago, WI 53149**

**Call to Order**

The Library Board President H. Pringle called the meeting to order at 5:00 p.m. located in the Mukwonago Community Library History Room, 511 Division St., Mukwonago, WI 53149

**Roll Call and Introduction of Guests**

Committee Members Present

J. Darin  
J. Gasser  
H. Pringle  
Joanne Tlachac (Friends of the Library representative)  
Amy Mueller (community representative)  
Scott Reeves (Village Board representative)

Also Present

A. Armour, Library Director

**Discussion/Action Items**

**3a. Strategic Planning**

Discussion on preliminary topics regarding the strategic plan. Director Armour presented the Committee with a packet of information that included reviewing questions the committee was asked to consider about how they felt about the Library, SWOT results from the Board and staff, and service priorities identified by the ALA. The committee discussed how the Library is perceived by the community, identified broad patterns, and ultimately decided they needed more information from the public. Director Armour was asked to prepare some likely questions for a short community survey.

**Referral Items**

**Confirm Next Meeting Date**

Strategic Planning Committee next meets July 25, 2022 at 4pm.

**Adjournment**

Meeting was adjourned at 6:25 pm by Library Board President H. Pringle.

**MINUTES OF THE STRATEGIC PLANNING COMMITTEE MEETING**  
**Monday, July 25, 2022**

Time: **4:00 pm**

Place: **Mukwonago Community Library, 511 Division St., Mukwonago, WI 53149**

**Call to Order**

The Library Board President H. Pringle called the meeting to order at 4:00 p.m. located in the Mukwonago Community Library History Room, 511 Division St., Mukwonago, WI 53149

**Roll Call and Introduction of Guests**

Committee Members Present

J. Darin  
J. Gasser  
H. Pringle  
Joanne Tlachac (Friends of the Library representative)  
Amy Mueller (community representative)  
Scott Reeves (Village Board representative)

Also Present

A. Armour, Library Director

**Approval of Minutes**

3.a. Minutes from July 18, 2022

J. Gasser/S. Reeves motioned to approve the minutes. Unanimously carried

**Discussion/Action Items**

4a. Strategic Planning - Discussion and possible action on preliminary topics regarding the next strategic plan.

The Committee commented on what they liked about the current strategic plan and another plan presented as a comparison. Director Armour presented the Committee with several examples of community surveys and the Committee commented on what they thought was successful and what they did not want to see on their survey. Director Armour will present a draft of survey questions for them to consider at the next meeting.

**Referral Items** - none

**Confirm Next Meeting Date**

Strategic Planning Committee next meets August 4, 2022 at 4pm.

**Adjournment**

Meeting was adjourned at 5:56 pm by Library Board President H. Pringle.

## **DRAFT MINUTES OF THE STRATEGIC PLANNING COMMITTEE MEETING**

**Monday, August 1, 2022**

Time: **4:00 pm**

Place: **Mukwonago Community Library, 511 Division St., Mukwonago, WI 53149**

### **Call to Order**

Library Director Armour called the meeting to order at 4:03 p.m. located in the Mukwonago Community Library History Room, 511 Division St., Mukwonago, WI 53149

### **Roll Call and Introduction of Guests**

#### **Committee Members Present**

J. Darin  
J. Gasser  
Joanne Tlachac (Friends of the Library representative)  
Amy Mueller (community representative)  
Scott Reeves (Village Board representative)

#### **Committee Members Absent and Excused**

H. Pringle

#### **Also Present**

A. Armour, Library Director

### **Approval of Minutes**

#### **3.a. Minutes from July 25, 2022**

S. Reeves/J. Gasser motioned to approve the minutes. Unanimously carried

### **Discussion/Action Items**

#### **4a. Strategic Planning - Discussion and possible action on preliminary topics regarding the next strategic plan.**

Director Armour presented a draft of a community survey. The Committee edited the draft for clarity and direction. Director Armour will finalize the draft and email it to the Committee for one last look before it is presented to the Library Board at their regular meeting on August 11.

#### **Referral Items - none**

### **Confirm Next Meeting Date**

No meeting date set. Next meeting will occur once the survey is complete.

**Adjournment**

Meeting was adjourned at 5:25 pm by Director Armour.

Minutes submitted by A. Armour.

DRAFT

Village of Mukwonago  
**DRAFT Minutes of the Grutzmacher Collection Committee Meeting**  
**LIBRARY BOARD OF TRUSTEES MEETING**

**Thursday, August 4, 2022**

Time: **3:00 pm**

Place: **Village Hall, 440 River Crest Ct, Mukwonago, WI 53149**

**1. Call to Order**

Committee Chair H. Pringle called the meeting to order at 3:05pm.

**2. Roll Call and Introduction of Guests**

Library Board representatives:

H. Pringle  
E. Brill  
E. Pautz  
D. Magolan

Mukwonago Historical and Museum Society (MHMS) Executive Board representatives:

H. Hecker  
J. Vanevenhoven  
R. Bartelt  
J. Coley

Also present:

A. Armour, Library Director  
J. Bernstein (via Zoom)

Absent and Excused:

C. Stienstra

**3. Discussion/Action Items**

**3.a History and Introduction**

Director Armour gave a brief overview of the packet appended to the agenda.  
MHMS President Henry Hecker gave a brief overview of the Position Statement  
MHMS had prepared.

**3.b Explanation of NAGPRA**

Jan Bernstein of Bernstein and Associates will explain the Native American Graves Protection and Repatriation Act (NAGPRA) and their role as a hired consultant.

Jan Bernstein, via electronic means, gave a brief overview of what NAGPRA is, who it applies to, and why it is important. H. Hecker asked J. Bernstein to describe the penalties for non-compliance. J. Bernstein described there are nine (9) ways to be out of compliance, and that anyone can notify the federal government of noncompliance by writing a letter to National NAGPRA and then

described the process. D. Magolan asked how the Tribes get notified. J. Bernstein described the process that an institution develop an Inventory in consultation with Tribes, submits to National NAGPRA and the Tribes, and publish notice in federal register or the organization can wait and offer disposition. The Summary process should be very comprehensive and essentially is an invitation to the Tribes to learn what an organization has and they can decide if it is culturally appropriate for them to repatriate it. D. Magolan asked what happens if multiple Tribes are identified as needing contact. Jan said they've done this in the past with MHMS, and NAGPRA outlines a process of identifying who to contact; Bernstein & Associates uses all of those contacts to mail and email letters. Jan suggests that often it might be prudent to contact all Tribes, especially when the Collection is as varied as the one under consideration. E. Pautz asked if there is a timeline between Summary and publishing. J. Bernstein explained that institutions that meet the two criteria that triggers NAGPRA compliance were supposed to have completed the Summary by 1993, so the sooner the Summary is published, the sooner the owning institution will be in compliance. H. Hecker asked about how long Tribes have to reach out to an owning institution. Tribes have no deadline to make claims. E. Brill asked if acceptance of federal dollars "trigger" this compliance. J. Bernstein said that it does; A. Armour explained that the Library accepted COVID-19 relief money from the CARES Act in 2020 and the Library's annual report states they are federal funds, so the Library clearly has met the two criteria for the need to comply with NAGPRA.

### **3.c Discussion About Potential Donation**

Discussion between members of the Boards regarding questions and concerns each party has about the potential change in ownership of the Grutzmacher Collection.

The Library Board Grutzmacher Committee indicated that it was still interested in donating the collection to MHMS. MHMS Executive Board indicated that they were still interested in receiving the donation. J. Bernstein clarified the timeline of the Inventory and Summary process, advising that the ownership of the Collection be determined before any Tribes are contact for consultation or anything gets published so that it could be made clear to the Tribes who to contact. She noted that the NAGPRA process is a great way for institutions to build a rapport with Tribes and cautioned that, while there is nothing stopping an institution from changing the ownership of the collection or changing contact information, it can be confusing for Tribes and is inadvisable to start a relationship that way. MHMS noted their concern over how many artifacts might be identified as unassociated or associated funerary objects during the discovery process, indicating that this could be potentially time intensive for a volunteer organization if MHMS were to accept the donation. The Library brought up concerns about if MHMS could handle the future compliance with NAGPRA as they are interested in completely transferring the Collection with all its duties and responsibilities. MHMS shared that they have been in contact with local large museums and colleges who might be able to help. Ultimately, both parties agreed that a donation agreement could soon be reached so long as the agreement included the Library's right of first refusal and exploring options

to make it clear to future generations that MHMS has exclusive ownership and that the Library is not seeking the Collection back or dictating the curation of the Collection. Both parties will engage legal counsel to meet and craft an updated draft of the donation agreement for the Boards to consider.

**3. Referral Items**

**4. Confirm Next Meeting Date**

**5. Adjourn**

E. Pautz moved to adjourn the meeting. E. Brill seconded. Adjourned at 5:00pm.

Minutes submitted by A. Armour

## **Library Director Report: August 2022**

### **Director Meetings and Activities**

Most of my time in the last month has been spent on strategic planning (see Committee Reports for minutes from the three meetings) and the Grutzmacher Collection (see Committee reports for minutes from the August 4 meeting of the Boards). I've also been preparing for the NAGPRA discovery process for when Claire from Bernstein & Associates arrives and begins work on August 10.

In July I finally got rid of the last 32-bit patron computers. These computers were excruciatingly slow and did not have enough RAM or a modern enough chipset to run Windows 10 or other newer programs. By cycling them out and upgrading the remaining old computers with extra RAM, customers will have a better experience and be less frustrated by computers taking a long time to load or freezing. At the same time, we finally rolled out PaperCut and have received great feedback. Though every new implementation has kinks that need to be ironed out, customers are happy with the ease of use and the seamless option to print from their mobile device. Additionally, we have had a big increase in big print jobs because people can now pay for all office services with the credit card reader that's built in to the payment kiosk attached to the copier.

I have been meeting with the Rotary to help plan the Jack-O-Lantern Jaunt (October 14 and 15 at Field Park). When I was invited to fill in as a pumpkin judge last year, I saw firsthand how big and popular the festival is, and I want us to have representation there to reach audiences we might not normally contact. The Jack-O-Lantern Jaunt committee is excited that the Library will be taking over the arts and crafts area and my team is already brainstorming a community art project and marketing handouts. This will involve a commitment of staff time well beyond the usual hours, so I will also contact the Friends of the Library to see if they can help with this event.

In facilities news, one of the 6-foot-tall windows in the adult area got broken when a rock was accidentally launched into it during weedwhacking. The Village responded quickly and secured it with plywood, but the glass company won't be able to source a replacement that big and with the correct tint until late in August. On the bright side, our Step-N-Wash handwashing step-stools were installed this month and families are happy. They are steel stools bolted to the floor with a hydraulic step that tucks up out of the way; they are a safe, secure way to meet the requests from our users. There is one in every bathroom so every child can step up to the sink comfortably and wash their hands.

### **Circulation (Emily Ceithamer)**

We had another great month for new patron cards! Every day we are signing up handfuls of new people and it's really exciting seeing new people join and get excited when they find out how much we have to offer! In July, I went to the Fort Atkinson library to learn from their Circulation Supervisor, Sandy. She has been at Fort Atkinson for 26 years and I was really glad I made the trip. I have some fresh ideas for forms like adding extra lines on new patron forms for



when multiple family members sign up and I really liked their check-in conveyer belt which now is my dream for our library. They are so efficient because of this one little change and I would love to see that for us one day in the future. I am going to keep reaching out to other circulation departments and keep learning so I can bring those ideas to our library! Another exciting thing that happened in July is we hired a new circulation clerk! Her name is Mary and she is starting the first week of August. We are all very excited to have her join the team and I know she is going to be a wonderful addition to the library staff!

### **Children's Department (Jane DeAngelis)**

2022 Summer Reading Challenge for Children and Teens--to date; one week left:

785 registrants  
608 active readers  
1532 rewards collected, e.g., destinations passes  
5164 badges earned  
338,973 minutes read  
278 completions

Looking forward to Fall 2022:

Beanstack challenge: NASA's Artemis Project: To the Moon, Mars, and Beyond!--September 1-30

Great Lakes Treasures--Tuesday, September 20 at 6:30 pm

Fairytales with Tinkerbell--Saturday, September 24 at 11:00 am

Identifying Dinosaurs--Saturday, November 12 at 11:00 am

### **Reference and Adult Services (Chris Stape)**

The Summer Library Program has flown by but it's going well. Participation in the Beanstack Challenge is a little higher than this time last year. We've also had good participation in the offline Adult Summer Bingo Challenge. We didn't do that last year and I think it's a good alternative for patrons not comfortable with the online presentation of the Challenge. The Spice of the Month Club is still doing well. We are just beginning the sixth month of it and based on stats, the number of kits taken seems to be 60-70 each month (unless I run out.) I met with a representative from Educator's Credit Union and it looks like we will be partnering with them in the near future for various presentations and even a series of classes about financial awareness and planning.

### **Technical Services and Thingery (Mary Jo Isely)**

458 new items were processed and catalogued in July. The Thingery has been very busy and this increase in use has seen the need for more repair and maintenance of items.

Replacements are necessary. Replaced the 10' Canopy, Oversized Playing Cards, & the Microscope in S.T.E.A.M. Kits in July. Also added to CREATE a woodburn-ing kit, Kubb was added to GAMES. Kubb is a wooden lawn game which is a combination of horseshoes and bowling. Allegedly originating from the Vikings, it is sometimes called Viking Chess. Several

new Thingery items are in progress. Low circulating items are being reviewed for possible removal and will be forwarded to the Friends for their rummage sale. Packaging, circulation procedures, and selection of titles are nearly completed for the new Nintendo Switch games. This will be discussed with the Abby prior to finalizing the order. The adult fiction weeding project plods along.

### **MetaSpace 511 & Technology (Nancy Aycok)**

MetaSpace 511 has been celebrating creativity, connecting with others, and summer, with a lot of fun maker classes, events, and projects during July. Library customers have been coming in during 1:1 appointments to work on maker projects like making vinyl t-shirts for a family celebration, upcycling with laser engraving to make a treasure chest, and making fun stickers with the Cricut Maker. The Friends of the Library have been making good use of the makerspace resources by using the Cricut Maker to help create signs to promote the upcoming rummage sale.

MetaSpace 511 hosted Teen Camp Crafty introducing a new generation to Shrinky Dinks. Teens created drawings on Shrinky Dinks while inspired by Bob Ross and Disney music. MetaSpace 511 continued with Demo Days, and 3D printing classes, and laser cutting and engraving classes which have brought new faces to the makerspace. The handmade paper workshop was a hit and attendees left with beautiful recycled handmade paper. The handmade papermaking was carried over to one of the Demo Days so people could make handmade paper stars out of recycled envelopes and then press some onto the windows to celebrate the James Webb Space Telescope.

The new MetaSpace 511 laptops finally arrived after months of waiting due to supply chain issues, it's very exciting to be able to start using these much-needed computers in the makerspace! The laser machine has been only partially working due to parts that need to be replaced, making engraving, and cutting difficult or impossible for larger projects. Parts have been ordered and a service call has been setup. MetaSpace 511 had a new Innovator in Residence Intern Jack start in July and he brings experience with robotics, 3D printing design, creating documentation, and more, we're excited to have Jack on board!



Family night out learning how to laser engrave



Handmade paper stars



Friends of the Library made their Rummage Sale signs on our Cricut!

## **Community Engagement Coordinator (Eric Huemmer)**

### **Community Engagement**

We presented our recent successes with the Mukwonago Rotary in July. This included an update on our partnership with the Department of Workforce Development with the weekly Job Center services. Mark Johnson mentioned that his Thursdays are now booked out, which demonstrates the Library addressing a need that had yet to be met in Mukwonago.

Those with developmental disabilities are another underserved population that we are looking to address. The Autism Society of Southeastern Wisconsin has its first Resource & Support Group meeting the first week of August. I recently toured The Haase House - a local organization that supports young adults with developmental disabilities.

The Mukwonago Farmer's Market continues to grow in attendance. (194 interactions last week with Abby!) Each visit includes a focus on a different offering at the Library - from new cards applications, adult programs and services, to our digital apps, while unveiling the finalized Rack Cards that we've been working on during the summer.

And as Summer wraps up, we plan to collect information for next year. We're looking at post-SLP feedback from the community to ensure we're improving our engagement for next year. Meanwhile, we're looking at surveying the community for strategic planning and future endeavors, especially as School Outreach (Open Houses) are on the horizon.

### **Events & Programming**

My first Summer Library Program has been quite the learning experience. Identifying and coordinating all the moving pieces of a library's SLP, juggling marketing and outreach priorities, while planning and running Teen Tuesdays and Senior Programming has been hard to address in a 40-hour work week. Experiencing the SLP first-hand means understanding what works, what needs to be revised or replaced, and what can be done next year to make things run smoothly.

The Teen Advisory Board is offering excellent feedback on everything from the Young Adult area, the YA collection, and the growing list of programs or clubs they would like to have. This will be passed along to Director Armour for strategic planning.

Initial planning is underway for the Library's activity at this year's Jack O Lantern Jaunt, working with the Mukwonago Rotary and the Family who has been running this community event for the past 18 years. With an attendance of 2000+ residents, the owners turning to the Library to coordinate an activity station is exactly the sort of response that we want from other members of the community.

### **Statistics (see next page)**

## Mukwonago Community Library

### STATISTICS JULY 2022

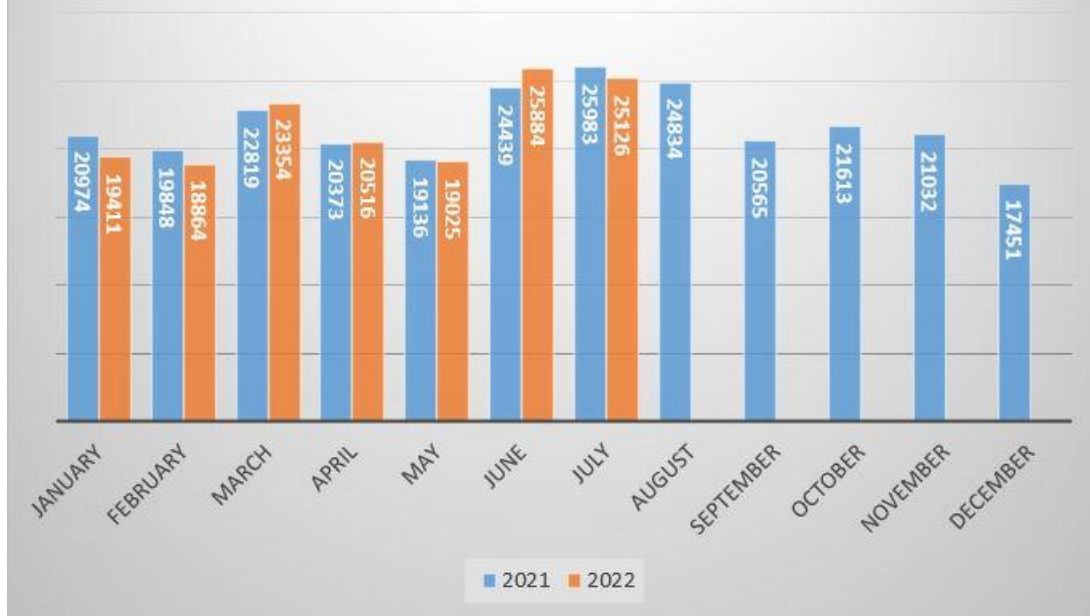
Circulation					Programming			
Bridges Library System	2022	2021	% to 2021	YR to Date	Type	General	Kids	Teens
Village of Mukwonago	7,334	7,287	1%	42,126	Friday Movies	89		
Town of Mukwonago	6,855	7,993	-14%	44,003	Book Clubs	21		
Eagle	1,172	1,474	-20%	7,490	Bingo	38		
Genesee	1,144	612	87%	5,180	Other Adult Programs	68		
North Prairie	1,122	913	23%	7,740	Family Movies	13		
Vernon	2,862	2,501	14%	14,518	Shake Rattle & Roll		122	
All other Waukesha County	1,340	1,367	-2%	8,007	Special Summer Programs		193	
Jefferson County	223	130	72%	1,069	Paws To Read		46	
<i>Subtotal Bridges System</i>	<i>22,052</i>	<i>22,277</i>	<i>-1%</i>	<i>130,133</i>	Other Kids Programs		42	
<b>Other Wisconsin Counties</b>				-	Makerspace Programs	71		
Milwaukee County	37	81	-54%	648	Teen Programs			30
Racine County	177	362	-51%	1,968	Farmers Market	259		
Walworth County	2,803	3,259	-14%	19,137				
All other Wisconsin Counties	57	4	1325%	293	<b>Totals</b>	<b>992</b>	<b>559</b>	<b>403</b>
<i>Subtotal Wisconsin Counties</i>	<i>3,074</i>	<i>3,706</i>	<i>-17%</i>	<i>22,046</i>	Total Childrens Programs		22	
<b>Total All Counties</b>	<b>25,126</b>	<b>25,983</b>	<b>-3%</b>	<b>152,179</b>	Total YA Programs		3	
<b>YTD ALL COUNTIES</b>	<b>152,179</b>	<b>153,572</b>	<b>-1%</b>		Total General Programs		37	
Facility Usage					Subscription Databases & Other Highlights			
	This Year	Last Year	Increase/ Decrease			This Year	Last Year	Decrease
Study Room Users	124	67	85.1%	Flipster (System Wide)		2054	3680	-44.2%
History Room Users	62	10	520.0%	Overdrive Circulation (Mukwonago)		3194	2832	12.8%
Computer Usage	n/a	429		Gale Courses Verified (System Wide)		69	65	6.2%
Patron Visits	9,077	8,275	9.7%	Interlibrary Loans Borrower		9	15	-40.0%
Curbside Pick Ups	14	13	7.7%	Interlibrary Loans Lender		21	16	31.3%
				New Items Added		458	456	0.4%
				New Cards Added		96	84	14.3%

### PATRON VISITS





## Circulation by Month



Mukwonago Community Library							
Time Study							
June 2022							
Row Labels	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Grand Total
12AM-1AM					1		
1AM-2AM		1					
2AM-3AM							
3AM-4AM							
4AM-5AM							
5AM-6AM	4	12	26	5	5	7	59
6AM-7AM	281	363	295	171	356	200	1666
7AM-8AM	526	341	381	436	281	316	2281
8AM-9AM	535	404	687	313	436	457	2832
9AM-10AM	346	374	461	248	378	339	2146
10AM-11AM	361	364	324	296	379	445	2169
11AM-12PM	225	225	364	309	228	6	1357
12PM-1PM	324	269	354	288	284		1519
1PM-2PM	464	274	523	264	266		1791
2PM-3PM	291	278	352	226	241		1388
3PM-4PM	256	210	222	213	207		1108
4PM-5PM	192	262	190	186	1		831
5PM-6PM	96	16	11	54			177
6PM-7PM							
7PM-8PM							
8PM-9PM							
Grand Total	2384	2988	2159	1927	1618	1430	12506

Mukwonago Community Library							
Time Study							
July 2022							
Row Labels	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Grand Total
12AM-1AM					1		1
1AM-2AM					1		1
2AM-3AM							
3AM-4AM							
4AM-5AM							
5AM-6AM	5	6	1	12	9	1	34
6AM-7AM	185	377	214	219	215	213	1423
7AM-8AM	345	511	367	373	356	321	2273
8AM-9AM	408	484	616	326	641	352	2827
9AM-10AM	263	371	291	329	452	360	2066
10AM-11AM	225	338	265	347	409	368	1952
11AM-12PM	271	364	394	322	319	20	1690
12PM-1PM	269	311	372	214	273		1439
1PM-2PM	270	284	424	291	316		1585
2PM-3PM	186	304	163	140	300		1093
3PM-4PM	185	200	131	145	3		664
4PM-5PM	135	140	96	97			468
5PM-6PM	51	29	12	26			118
6PM-7PM							
7PM-8PM							
8PM-9PM							
Grand Total	2798	3719	3346	2841	1618	1430	17634

	Feb	Average per day	Mar	Average per day	Apr	Average per day	May	Average per day	Jun	Average per day	Jul	Average per day
6PM-7PM	648	22	689	22	586	20	880	28	1108	37	664	21
7PM-8PM	299	10	379	12	279	9	501	16	831	28	468	15
8PM-9PM	157	5	53	2	79	3	146	5	177	6	118	4

**Friday, August 26**

## From Stories to Action: How to Talk about Your Budget to Activate Support & Secure Funding



**Presenter:**  
John Chrastka

*Executive Director,  
EveryLibrary*

The core of any library's strategic plan, management plan, or development plan is the organization's own mission, vision, and values system. But very often, the plans describe the "features" of the library, like hours, collections, staffing levels, and facilities rather than the expected or hoped-for outcomes. And library leaders are ready to share powerful stories about how the library impacts users, but not often about their own work. Learn how to talk about your funding in a new way by talking about you, your staff, and board, and why you do the work you do.

## Other Trustee Resources

- Trustee Essentials: A Handbook for Wisconsin Public Library Trustees  
<https://dpi.wi.gov/pld/boards-directors/trustee-essentials-handbook>
- United for Libraries, a Division of the American Library Association  
[www.ala.org/united/](http://www.ala.org/united/)
- Wisconsin Library Trustees & Friends, a Division of the Wisconsin Library Association  
<https://www.wisconsinlibraries.org/trustees-friends>
- Trustee Training Week Webinar Archive  
[www.wistrusteetraining.com/archive](http://www.wistrusteetraining.com/archive)

### Register Online:

[www.wistrusteetraining.com](http://www.wistrusteetraining.com)

You must register for each session individually. Sessions will begin at 12 p.m., are 60 minutes, and will be recorded.

### Questions?

Contact Jean Anderson  
South Central Library System  
608-246-5613  
[jean@scls.info](mailto:jean@scls.info)



Trustee Training Week (TTW) is produced by the South Central Library System with support from all Wisconsin Public Library Systems. TTW is funded in part by a grant from the Institute of Museum and Library Services which administers the Library Services and Technology Act (LSTA). Thank you!

Arrowhead  
Bridges  
IFLS  
Kenosha County  
Lakeshores  
Manitowoc-Calumet  
Milwaukee County  
Monarch  
Nicolet  
Northern Waters  
Outagamie-Waupaca  
Southwest  
Winding Rivers  
Winnefox  
Wisconsin Valley



**August 22-26, 2022**

**12-1 p.m.**

[www.wistrusteetraining.com](http://www.wistrusteetraining.com)

# Monday, August 22

## Materials Challenges and Your Library from the Trustee Table



Presenter:  
Becky Spratford

*Readers' Advisor and Author, Illinois*

Regardless of whether or not your library has had a request for reconsideration of library materials, the increase in challenges is dramatic, and quite frankly, upsetting. Becky Spratford, an expert in serving leisure readers through the public library with over 20 years of experience as a locally elected library trustee, Reaching Across Illinois Library System board member, and Illinois Library Association Executive Board member, will walk you through everything you need to do to prepare for a request to ban titles at your library. From the steps you need to take right now, to how to properly handle a challenge from your seat at the trustee table, Becky will help you to put the emotions aside and protect intellectual freedom.

# Tuesday, August 23

## Here to Stay: Recruiting & Retaining Dedicated Library Workers



Presenter:  
Lisa Shaw  
*Rural & Small Libraries/  
Workforce Development  
Specialist, Maine State  
Library*

The highly competitive job market makes it much harder for libraries to attract and keep library staff - including directors. While libraries might struggle to compete with other employers on wage scales, they can create a culture of inclusivity, inspiration, and belonging that appeals to creative and hard-working employees. This session will include practical tools for library boards like improving board-director relationships, reviewing job descriptions, and investigating options for improved salaries and benefits, and more to make your library a great place to work and help reduce staff turnover and shortages.

# Wednesday, August 24

## Effective & Efficient Meetings: Parliamentary Procedure



Presenter:  
Nancy Sylvester

*Certified Professional  
Parliamentarian, Illinois*

Planning great meetings and running them effectively and efficiently is crucial to a strong organization. This webinar will help make parliamentary procedure understandable and useful to you as well as focus on the tools to help you with the meetings you conduct and attend. After this webinar, the attendees will not only have a better understanding of parliamentary procedure but will have the knowledge and skills to help run an effective meeting.

# Thursday, August 25

## Making Sense & Cents of a Library Building Project: the Library Trustee Role



Presenter:  
John Thompson

*Director, IFLS Library  
System, Eau Claire, WI*

Public libraries around Wisconsin are building, expanding, and/or renovating their spaces. Your Library Director or Building Consultant is recommending to the board the need for additional library space. What is the role of the library board? How can the library board support the project?

John Thompson will share some tips and insights on the library board role, an overview of the process, some of the costs involved, and how potential choices might impact the project and library services.

**Welcome to the Mukwonago Community Library survey!**

**<https://mukwonagolibrary.formstack.com/forms/survey>**

We appreciate the time you are taking to give us your opinion. **This should only take you approximately 2 minutes.** Your input will help us determine where to focus our time and money to best serve our community.

**Purpose of question: Demographic. Establish category of people who we are targeting.**

**1. Who do you represent?**

- ☐ I'm a CHILD (age 0 through 12) answering for myself
- ☐ I'm a TEEN (age 13 through 18) answering for myself.
- ☐ I'm an ADULT answering for myself.
- ☐ I'm an adult, answering for my FAMILY.
- ☐ I'm an adult, answering as a CAREGIVER.

**Purpose of question: Behavioral. Establish typical usage or survey taker.**

**2. How often have you visited the Mukwonago Community Library (MCL) in the PAST 12 MONTHS?**

- ☐ A few times a week
- ☐ A few times a month
- ☐ A few times a year
- ☐ I have not been inside the library, but I use MCL online services (ebooks, databases, etc.)
- ☐ I have not visited MCL or used MCL services in the past 12 months

**Purpose of question: Behavioral. Discover barriers to access.**

**3a. If you have NOT visited MCL in the last 12 months, please tell us why. Check all that apply.**

- ☐ Unsure of what the Library has to offer
- ☐ Too busy / no time
- ☐ I buy the materials I need (or get them as gifts)
- ☐ I use another library
- ☐ Programs not of interest and/or I attend programs elsewhere
- ☐ Wait times too long for popular materials
- ☐ It's too hard to find materials I want to borrow
- ☐ Hours not convenient
- ☐ I don't feel welcome
- ☐ Disability or physical limitation makes it difficult to go places
- ☐ Library facility isn't easy to get to or get around
- ☐ Rooms/spaces not available when I want them
- ☐ Personal health concerns of me or my family
- ☐ Comment : \_\_\_\_\_



Purpose of question: Behavioral. Establish user's main purpose in using the library.

**3b. Which services did you use? Check all that apply.**

- ☐ quiet space to work, read, or study
- ☐ place to meet with a group or attend a meeting
- ☐ borrow print materials (books, large print, magazines, etc.)
- ☐ borrow non-print materials (DVDs, Thingery items, audiobooks, etc.)
- ☐ browse collection for something to read, view, or listen to (for me or my family)
- ☐ attend a library program (for me or my family)
- ☐ get help with finding books or other materials (for me or my family)
- ☐ get help with research or finding information (for me or my family)
- ☐ enjoy friendly, welcoming staff and social interaction
- ☐ use computers
- ☐ access wireless internet
- ☐ download electronic resources (Overdrive/Libby, Hoopla, Flipster, etc.)
- ☐ use office services (printing, copying, scanning, faxing)
- ☐ use MetaSpace 511 to learn or create
- ☐ Memory Lab to digitize VHS, cassette tapes, or photos

Purpose of question: Behavioral. WHY are people only using digital? Might determine how we do programming, how you interact with a digital only user, collection development?

**3c. Why do you only use digital resources? Check all that apply.**

- ☐ Unsure of what the Library has to offer
- ☐ Too busy / no time to visit the Library
- ☐ Digital resources are easier to use
- ☐ The only things I'm interested in are online
- ☐ I don't feel welcome at the Library
- ☐ Disability or physical limitation makes it difficult to go places
- ☐ Library facility isn't easy to get to or get around
- ☐ Personal health concerns of me or my family
- ☐ Comment : \_\_\_\_\_

Purpose of question: Awareness. Establish where people get their information.

**4. Where do you get your information and news about the Library? Check all that apply.**

- ☐ Social media (Facebook, Instagram)
- ☐ Flyers, posters
- ☐ Library website
- ☐ Library newsletter and emails
- ☐ Village newsletter and emails
- ☐ Newspaper
- ☐ Friends and family
- ☐ Other: \_\_\_\_\_

Purpose of question: Awareness. Establish whether the respondent knows we offer these.

**5. Are you aware (regardless of your actual usage) that these are available at MCL?**

**Check all that apply.**

- ☐ Books, magazines, and newspapers
- ☐ Thingery – “things” you can check out like wifi hotspot, zoo passes, sewing machines, and kayaks
- ☐ MetaSpace 511 – makerspace for all ages to inspire creativity by teaching you how to use 3D printers, laser machines, and more
- ☐ Seed Library – take seeds in the spring, plant them, harvest the seeds, and return them for another person to take in spring
- ☐ Memory Lab – equipment to digitize VHS, cassette tapes, photos, and more
- ☐ Digital Content – ebooks, eaudiobooks, emagazines, music, and videos
- ☐ Office services (notary, print, fax, scan)
- ☐ Programs and events for all ages
- ☐ Librarian help with finding a book, research, or recommendations
- ☐ Wisconsin Job Center weekly pop-up job help
- ☐ Friends of the Library
- ☐ Teen Advisory Board (TAB)
- ☐ Online and print newsletters

Purpose: Demographic. Respondents will be only shown the categories they have interest in. We will get better data and people will stay engaged.

**6. Which age range(s) are important to you? Select all that apply.**

- ☐ Children's materials and programs
  - ✓ If you checked this, please answer questions 7a-7b
- ☐ Teen/Young Adult (YA) materials and programs
  - ✓ If you checked this, please answer questions 7c-7d
- ☐ Adult & Senior Citizen materials and programs
  - ✓ If you checked this, please answer questions 7e-7f

Purpose: Attitudinal. Determine which parts of the Library the user values the most and therefore where we should spend the most time and money.

**7a. What CHILDREN'S SERVICES are important to you?**

	Very Important	Important	Not Important
programs for young children (ages 0 to 5)			
programs for older children (ages 6-9)			
programs for "tweens" (ages 10-12)			
programs for homeschoolers			
programs offered in the evening			
programs offered on the weekend			
reading challenges and incentives			
librarian's recommendations for books and resources			

**7b. What CHILDREN'S FACILITIES are important to you?**

	Very Important	Important	Not Important
separate children's area			
variety of books, DVDs, and other materials			
"things" for checkout (STEAM kits, zoo passes, etc.)			
large play area variety of toys and games			
quiet places to read			
child-height shelving and book bins			
computers in the children's area			
MetaSpace 511			

Please comment on your ratings of CHILDREN'S services and facilities:

Purpose: Attitudinal. Determine which parts of the Library the user values the most and therefore where we should spend the most time and money.

**7c. What TEEN SERVICES are important to you?**

	Very Important	Important	Not Important
programs during vacation breaks at school			
Teen Advisory Board (TAB)			
programs for homeschoolers			
"fun" programs (crafts, cooking, etc.)			
homework and after-school help			
programs offered in the evening			
programs offered on the weekend			
reading challenges and incentives			
librarian's recommendations for books and resources			

**7d. What TEEN FACILITIES are important to you?**

	Very Important	Important	Not Important
separate teen area			
variety of books, DVDs, and other materials			
"things" for checkout (video game consoles, musical instruments, yard games, etc.)			
entertainment available in the library (games, puzzles, etc.)			
Use our wifi			
laptops/computers in library			
office services (printing, copying, faxing, etc.)			
MetaSpace 511			
Spaces and furniture that allow me to work in a group			
Spaces and furniture that allow me to work privately			

Please comment on your ratings of TEEN services and facilities:

Purpose: Attitudinal. Determine which parts of the Library the user values the most and therefore where we should spend the most time and money.

**7e. What ADULT & SENIOR CITIZEN SERVICES are important to you?**

	Very Important	Important	Not Important
"fun" programs (DIY crafts, Zentangle, etc.)			
educational programs (learn to compost, all about Medicare, etc.)			
family programs			
programs for older and/or retired adults			
programs offered in the evening			
programs offered on the weekend			
reading challenges and incentives			
librarian's recommendations for books and resources			

**7f. What ADULT & SENIOR CITIZEN FACILITIES are important to you?**

	Very Important	Important	Not Important
separate adult area			
variety of books, DVDs, and other materials			
"Things" for check out (baking pans, tools, Fit Bit, etc.)			
handicap accessible building and furniture			
Use of wifi			
laptops/computers in library			
office services (printing, copying, faxing, etc.)			
MetaSpace 511			
Spaces and furniture that allow me to work in a group			
Spaces and furniture that allow me to work privately			

Please comment on your ratings of ADULT & SENIOR CITIZEN materials, services, and facilities:

Purpose: Attitudinal. Determine where user thinks the Library should focus its efforts to grow.

**8. The Mukwonago Community Library has put together a Strategic Planning Committee to prioritize what the library should focus on in the next three years in addition to our core services. Please identify THREE (3) that you think are most important.**

	Mark Your Choices
Focus on promoting the understanding of local and diverse cultures	
Focus on improving internet accessibility	
Focus on providing early literacy offerings and children's programming	
Focus on promoting creativity with space and classes to create original video, audio, and print content	
Focus on creating a central resource "hub" for all the programs, events, groups, and resources in the community	
Focus on improving the facility and spaces inside the library	
Focus on helping job seekers	
Focus on health and wellness education	
Focus on providing educational offerings for school and homeschool students	
Focus on providing materials and services for non-English speakers	
Focus on providing space and programming for adults and senior citizens	

**9. Would you like a staff member to contact you about your answers?**

- ☐ No  
☐ Yes. Here is my email/phone: \_\_\_\_\_

**10. Would you like to be entered into a drawing for a \$100 gift card to Kwik Trip?**

- ☐ No  
☐ Yes. Here is my email/phone: \_\_\_\_\_

**11. Would you like to get our newsletter via email?**

- ☐ No  
☐ Yes. Here is my email: \_\_\_\_\_

**Thank you for taking this survey!**

We will use your input to determine what we should focus on in the library. Please encourage your neighbors to take the survey, too--even if they don't use the library right now! The more data we have, the better decisions we can make.



From the IMLS Director:

As we enter a new phase of our national life, with the pandemic receding (please!) and our economic and societal landscape coming with new opportunities and challenges for our nation's libraries and museums, I offer these thoughts about the importance and focus of our grantmaking.

Museums significantly funded by grants and earned revenue have by and large survived by making very hard decisions, presenting themselves ever more significantly online and joining local partners to respond in every way to community need. Libraries similarly have renewed, redefined, and deepened what it means to be an anchor institution, called on to be what can be described as the Swiss army knife of community, an answer, sometimes THE answer to every community problem.

With the exception of our largest institutions, all of the wonderful activity in our museums and libraries is intensely local and community driven, community inspired. But our grantmaking, while it recognizes the individuality of our institutions, stresses best practices, angles of impact, preservation and promotion of heritage, civilizational value, and being a part of the recognition of and reckoning with equity in its largest sense, the sense of justice and fairness.

To that end I want to stress the following.

Our strategic emphasis on lifelong learning must encourage shared knowledge, the development of various literacies, including digital, economic, environmental, health, social, and historical but always remembering the fundamental literacy is reading. The most essential skill and the most important place to challenge the gaps and divides in our country is with fundamental literacy and the support for that through equitable cultural literacy unites our cultural institutions with our educational institutions in the only cultural war we should all be engaged in: the war on illiteracy.

Professional education and development is a key part of this. And to advance equity in the professional ranks, which is obviously also to advance it for patrons and the community, we need more resources to support diversity in its many forms and in all ranks of our institutions. We should reflect the country we live in through mind and heart (as well as class and color). Paid internships, scholarships, fellowships in all levels of professional development should be encouraged.

Community engagement should seek out the diversity of our history, our local stories, the stories of those communities within larger community, and let all the voices be heard, preferably together. Civil discourse is very much needed today, and our most trusted institutions must play a central role. Debates and discussions, convenings and presentations of curated information with face-to-face engagement about what constitutes

fact and what constitutes opinion, and to learn through that not only what we disagree about, but also on that with which we agree. Modeling civic discourse is of first importance.

Increasingly, museums and libraries are working to bring community voices into our collections, archives, and storytelling to make sure we match the preservation of history, the presentation of knowledge and culture, to community need. Community needs must also therefore be in dialogue with a world of knowledge made ever more accessible to the widest range of patrons. Cultural literacy is necessary for the kind of literacy and the kind of skills that define real equity.

Finally, the Museum and the Library are portals to enlightenment and delight: we should share the best of what has been, what we know today, and what we think about the future with all our citizens, family, and friends. We should make sure these are their stories too so that we all belong to the institution of enlightenment and the institution belongs to us.

A handwritten signature in black ink, reading "Crosby Kemper". The signature is written in a cursive, slightly stylized font.

Crosby Kemper



# NATIONAL LEADERSHIP GRANTS FOR LIBRARIES

## FY 2023 NOTICE OF FUNDING OPPORTUNITY

<b>Federal Awarding Agency</b>	Institute of Museum and Library Services
<b>Funding Opportunity Title</b>	National Leadership Grants for Libraries
<b>Announcement Type</b>	Modification of FY2022 Notice of Funding Opportunity
<b>Funding Opportunity Number</b>	NLG-Libraries-FY23
<b>Assistance Listing Number</b>	45.312
<b>Application Deadline</b>	<p><b>Preliminary Proposals:</b> Submit through Grants.gov by 11:59 p.m. U.S. Eastern Time on September 21, 2022.</p> <p><b>Invited Full Proposals:</b> Submit through Grants.gov by 11:59 p.m. U.S. Eastern Time on March 17, 2023.</p>
<b>Anticipated Date of Notification of Award Decisions</b>	July 2023 (subject to the availability of funds and IMLS discretion)
<b>Beginning Date of Period of Performance</b>	Projects must begin on August 1, 2023.

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# National Leadership Grants for Libraries

## A. Program Description

### A1. Agency Mission, Goals, and Objectives

The mission of the Institute of Museum and Library Services (IMLS) is to advance, support, and empower America's museums, libraries, and related organizations through grantmaking, research, and policy development. Guiding our grantmaking are three agency-level goals with two objectives each.

- **Goal 1: Champion Lifelong Learning**
  - Objective 1.1: Advance shared knowledge and learning opportunities for all.
  - Objective 1.2: Support the training and professional development of the museum and library workforce.
- **Goal 2: Strengthen Community Engagement**
  - Objective 2.1: Promote inclusive engagement across diverse audiences.
  - Objective 2.2: Support community collaboration and foster civic discourse.
- **Goal 3: Advance Collections Stewardship and Access**
  - Objective 3.1: Support collections care and management.
  - Objective 3.2: Promote access to museum and library collections.

The National Leadership Grants for Libraries Program is designed to support the achievement of these agency-level goals and to facilitate the delivery of significant results consistent with the IMLS federal authorizing legislation (20 U.S.C. § 9101 *et seq.*; in particular, § 9162 (National leadership grants)). Each award that IMLS makes through the National Leadership Grants for Libraries Program will align with one agency-level goal and one associated objective and will thus contribute meaningfully to the achievement of both program and agency-level goals.

[Click here to search awards made through the National Leadership Grants for Libraries Program by year, log number, state, city, and/or keyword.](#)

Throughout its work, IMLS places importance on diversity, equity, and inclusion. This may be reflected in an IMLS-funded project in a wide range of ways, including efforts to serve individuals of diverse geographic, cultural, and socioeconomic backgrounds; individuals with disabilities; individuals with limited functional literacy or information skills; individuals having difficulty using a library or museum; and underserved urban and rural communities, including children from families with incomes below the poverty line.

### A2. National Leadership Grants for Libraries Program Goals and Objectives

This program is designed to support projects of national impact that address critical needs of the library and archives fields and have the potential to advance practice in these professions to strengthen library and archival services for the American public. Projects are expected to:

- propose far-reaching impact to influence practice across one or more disciplines within the libraries and archives fields;

- reflect a thorough understanding of current practice, knowledge about the subject matter, and an awareness of and support for current strategic priorities in the field;
- use collaboration to demonstrate broad need, field-wide buy-in and input, and access to appropriate expertise; and
- generate results such as new models, new tools, research findings, services, practices, and/or alliances that can be widely used, adapted, scaled, or replicated to extend and leverage the benefits of federal investment.

As a result, National Leadership Grants for Libraries have significant potential to generate positive societal impact through project activities undertaken as part of the grant-funded work, activities that may be complementary to the project, and through applied research designed specifically for this purpose. IMLS does not prescribe the type, focus, reach, or scale of societal impact required for each project, but the questions to be addressed in the application Narrative and the review criteria reflect the agency's commitment to both advancing knowledge and understanding and to ensuring that the federal investment made through grants generates benefits to society. Applicants should keep these two agency commitments in mind when they conceptualize their projects, identify the target group(s) they propose to reach, prepare their work plans, and formulate their intended results.

Reflecting IMLS's agency-level goals, the National Leadership Grants Program for Libraries has five program goals and two or three objectives associated with each goal. Each applicant should align their proposed project with one of these five program goals and one or more of the associated objectives. Goal and objective choices should be identified clearly in the Narrative (see [Section D2c](#) for Preliminary Proposals and [Section D3c](#) for Invited Full Proposals).

- **Goal 1: Build the workforce and institutional capacity for managing the national information infrastructure and serving the information and education needs of the public.**
  - Objective 1.1: Develop or enhance replicable library and archives programs, models, and tools that provide opportunities to support all types of learning. Topics addressed may include, but are not limited to, informal STEM or other types of participatory learning; community or citizen science; community and expert narratives; early learning; workforce development; and digital, information, health, financial, media, civic, and other types of literacies.
  - Objective 1.2: Collaborate with formal and/or informal learning organizations to incorporate promising practices from allied domains into library and archives services. Partners may include, but are not limited to, museums, school systems, universities, extension programs, youth-serving organizations, departments of correction, and workforce or economic development organizations.
  - Objective 1.3: Create and/or facilitate opportunities for continuous learning for families, groups, and individuals of diverse cultural and socioeconomic backgrounds and needs including, but not limited to, young children and their caregivers, tweens and teens, un- and under-employed adults looking to make career transitions or re-enter the workforce, veterans, immigrants and refugees, individuals with disabilities, English-language learners, and senior citizens.
- **Goal 2: Build the capacity of libraries and archives to lead and contribute to efforts that improve community well-being and strengthen civic engagement.**
  - Objective 2.1: Develop or enhance replicable library programming, models, and tools that engage communities and individuals of diverse cultural and socioeconomic backgrounds. Topics may include, but are not limited to, workforce and economic

development; financial, health, social, or legal services; or efforts that increase equity and access.

- Objective 2.2: Develop or enhance collaborations between libraries and stakeholders, and leverage opportunities to address community needs. Partners may include, but are not limited to, museums, school systems, service organizations, workforce or community development groups, government agencies, departments of correction, community colleges, and community associations.
- Objective 2.3: Establish or refine approaches that equip libraries and archives to contribute to the well-being of communities. Approaches may include, but are not limited to, asset mapping, public data mining, social network analysis, journey mapping, and generating impact indicators in collaboration with the community to better understand social and economic conditions, infrastructure challenges, and geographic or cultural barriers.
- **Goal 3: Improve the ability of libraries and archives to provide broad access to and use of information and collections with emphasis on collaboration to avoid duplication and maximize reach.**
  - Objective 3.1: Advance digital inclusion, broadly defined. Approaches may include, but are not limited to, enhancing digital infrastructures, platforms, technologies, online services, connectivity, digital literacy, privacy, and security, as well as creating new processes and procedures needed to sustain a robust online environment.
  - Objective 3.2: Support innovative approaches to digital collection management including, but not limited to, preservation and access to information and resources through retrospective and born-digital content; digital preservation strategies; community archives; web archiving; and improving cataloging and inventory practices.
  - Objective 3.3: Support the design and development of online library and archives services that meet user expectations for operating in an online environment.
- **Goal 4: Strengthen the ability of libraries to provide services to affected communities in the event of an emergency or disaster.**
  - Objective 4.1. Support the development of model national, regional, statewide, or local emergency and disaster management plans employing new and emerging technologies, where appropriate, and the widespread dissemination of information derived from them.
  - Objective 4.2. Support the implementation of such emergency and disaster management plans or otherwise enable libraries to provide appropriate services to affected communities in the event of emergencies or disasters.
- **Goal 5: Strengthen the ability of libraries, archives, and museums to work collaboratively for the benefit of the communities they serve.**
  - Objective 5.1. Support the development of replicable systems that leverage institutional expertise and experience to maximize public access to and use of knowledge resources. Issues addressed may include, but are not limited to, practicing effective communication and conflict resolution, sharing decision-making, recognizing and accommodating different values, building a collective set of goals, establishing shared vocabularies and common practices, formalizing workflow processes or protocols, establishing guidelines and standards, building broad

infrastructures, creating or customizing project technology, and cross-training staff and volunteers.

- Objective 5.2. Support joint projects designed to address a shared problem and structured to use the expertise, experience, and perspective of each partner institution in its solution. Collaborating partners should include at least one museum, broadly defined. Projects may address, but are not limited to, innovative programming; literacy skill-building; object- and primary source-based learning through exhibitions and programs; curriculum development; collections management, care, and conservation; enhancing online discoverability; and improving online user experience.

## A3. Project Types

The National Leadership Grants for Libraries Program has four project types, and applicants must designate one of them for each application they submit. Applicants may submit more than one application to the National Leadership Grants for Libraries Program; however, they may not submit the same proposal under more than one project type.

The project types and corresponding periods of performance are:

Project Type	Period of Performance
Planning	1 to 2 years
Forum	1 to 2 years
Implementation	1 to 3 years
Applied Research	1 to 3 years

**Planning projects** support exploratory activities, such as analyzing needs and feasibility; solidifying partnerships; developing project work plans; or developing prototypes, proofs of concept, and pilot studies. Applications should identify planning activities that have the potential to lead to future implementation. The period of performance for a Planning project is one to two years.

**Forum projects** support convening qualified experts and key stakeholders, including those from adjacent fields as appropriate, to help explore current or emerging issues or opportunities that are important to libraries and archives across the nation. Reports and other deliverables should be prepared for wide dissemination. Convenings should leverage technology, such as virtual meetings or live streaming, to allow broad participation. Additional mechanisms for engaging stakeholders and building awareness of the findings are encouraged. The period of performance for a Forum project is one to two years.

**Implementation projects** support the development, execution, and evaluation of work that transforms how libraries and archives serve the nation. Implementation projects may develop new tools and resources or expand existing products or services for new audiences or in new contexts. Applicants should design their proposed work to ensure that new practices have the potential to be easily adoptable, sustainable, and widely implementable across the field. The period of performance for an Implementation project is one to three years.

**Applied Research projects** support the investigation of key questions relevant to library or archival tools and services, building on prior empirical, theoretical, or exploratory work in libraries and archives or other relevant disciplines. Applicants **must** include clearly articulated research questions and feature appropriate methods, including relevant theoretical or conceptual approaches, data

collection, and analysis. Findings and their implications for library and archival practice should be shared broadly throughout the grant period of performance, rather than exclusively at the end of the project. Dissemination activities should extend beyond publishing journal articles and presenting at academic conferences. Research projects should not be designed with a deterministic agenda or predetermined outcomes. Proposals focused on evaluation are **not** appropriate for the Applied Research project category and should be submitted under the Implementation project category above. The period of performance for an Applied Research project is one to three years. See [Guidance for Research Applications](#).

**Note:** Phase II: Invited Full Proposals submitted for Applied Research projects will be considered incomplete if they do not include Data Management Plans that explain how the applicant will manage, share, preserve, document, and enable reuse of the information and research products created during the project. See Appendix Five for guidance on creating a [Data Management Plan](#).

## A4. Performance Measures

The National Leadership Grants for Libraries Program uses four performance measures as a basis for understanding (1) how well the grant program is meeting its goals and (2) how individual projects are being managed.

- **Effectiveness:** The extent to which activities contribute to achieving the intended results
- **Efficiency:** How well resources (e.g., funds, expertise, time) are used and costs are minimized while generating maximum value for the target group
- **Quality:** How well the activities meet the requirements and expectations of the target group
- **Timeliness:** The extent to which each task/activity is completed within the timeframe proposed

Each applicant preparing an Invited Full Proposal is asked to describe how they will monitor and assess their performance in carrying out their project as a whole, using these four measures (see [Section D3c. Item 7](#)).

## A5. Authorizing Statute and Regulations

**Statute:** 20 U.S.C. § 9101 et seq.; in particular, § 9162 (National leadership grants).

**Regulations:** 45 C.F.R. Chapter XI and 2 C.F.R. Chapter XXXI

*Recipients must follow the IMLS regulations that are in effect at the time of the award.*

*The Office of Management and Budget (OMB) guidance on Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) can be found at 2 C.F.R. part 200. With certain IMLS-specific additions, IMLS regulations at 2 C.F.R. part 3187 formally adopt the 2 C.F.R. part 200 Uniform Guidance.*

## A6. Equal Opportunity

IMLS-funded programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, email the Civil Rights Officer at [CivilRights@imls.gov](mailto:CivilRights@imls.gov) or write to the Civil Rights Officer, Institute of Museum and Library Services, 955 L'Enfant Plaza North, SW, Suite 4000, Washington, DC, 20024-2135.



## B. Federal Award Information

Total amount of funding IMLS expects to award through this announcement	\$9,000,000	
Expected performance indicators, targets, baseline data, and data collection	See <a href="#">Section A4</a> .	
Anticipated number of awards	38	
Expected amount of individual awards	Planning	\$50,000 - \$150,000
	Forum	\$50,000 - \$150,000
	Implementation	\$50,000 - \$1,000,000
	Applied Research	\$50,000 - \$750,000
Average amount of funding per award experienced in previous years	\$318,606	
Anticipated start dates for new awards	Projects must begin on August 1, 2023.	
Anticipated period of performance	August 1, 2023 – July 31, 2026. Project activities may be carried out for one to three years, based on the selected project type. See <a href="#">Section A3</a> .	
Type of assistance instrument	Grant	

The funding in the above Federal Award Information table is subject to the availability of funds and IMLS discretion. IMLS is not bound by any estimates in this announcement.

If your request for federal funding, including all direct and indirect costs, is outside the applicable range as designated above, your application will be rejected from consideration for funding in this program.

Applications for renewal or supplementation of existing projects are not eligible to compete with applications for new awards.

Contingent upon the availability of funds, the quality of applications, and IMLS discretion, IMLS may make additional awards from the pool of unfunded applications from this competition.

## C. Eligibility Information

### C1. Eligible Applicants

To be eligible for the National Leadership Grants for Libraries Program, you must:

1. be either a unit of State or local government or be a private, nonprofit organization that has nonprofit status under the Internal Revenue Code of 1954, as amended, **and**
2. be located in one of the 50 States of the United States of America, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

In addition, you must qualify as one of the following six types of organizations:

1. A library or a parent organization, such as a school district, a municipality, a State agency, or an academic institution, that is responsible for the administration of a library. Eligible libraries include:
  - (a) Public libraries
  - (b) Public elementary and secondary school libraries
  - (c) College (including community college) and university libraries
  - (d) Research libraries and archives that are not an integral part of an institution of higher education and that make publicly available library services and materials that are suitable for scholarly research and not otherwise available. Research libraries must be under the supervision of at least one permanent professional staff librarian and must be either generally recognized as possessing unique, scholarly research materials and services that are made available to the public, or able to demonstrate that such is the case when submitting an application to IMLS.
  - (e) Private or other special library, but only if the State in which such private or special library is located determines that the library should be considered a library for purposes of Library Services and Technology (see 20 U.S.C. § 9121-9165)
2. An academic or administrative unit, such as a graduate school of library and information science that is part of an institution of higher education through which it would make application;
3. A digital library, if it makes library materials publicly available and provides library services, including selection, organization, description, reference, and preservation, under the supervision of at least one permanent professional staff librarian;
4. A library agency that is an official agency of a State or other unit of government and is charged by the law governing it with the extension and development of public library services within its jurisdiction;
5. A library consortium that is a local, statewide, regional, interstate, or international cooperative association of library entities that provides for the systematic and effective coordination of the resources of eligible libraries, as defined above, and information centers that work to improve the services delivered to the clientele of these libraries; or
6. A library association that exists on a permanent basis; serves libraries or library professionals on a national, regional, State, or local level; and engages in activities designed to advance the well-being of libraries and the library profession.



IMLS recognizes the potential for valuable contributions to the overall goals of the National Leadership Grants for Libraries Program by entities that do not meet the eligibility requirements above. Although such entities may not serve as the legal applicants, they are encouraged to participate in projects. Consult with an IMLS Program Contact about any eligibility questions before submitting an application.

Native American tribal organizations may apply if they otherwise meet the above eligibility requirements.

## C2. Cost Share Requirements

For the National Leadership Grants for Libraries Program, the requirements to provide cost share from non-federal sources differ according to project type.

Project Type	Award Amount	Cost Share Requirement
Planning	\$50,000 - \$150,000	No cost share required.
Forum	\$50,000 - \$150,000	No cost share required.
Implementation	\$50,000 - \$1,000,000	Requests of more than \$249,999 in IMLS funds require at least 1:1 cost share from non-federal sources.
Applied Research	\$50,000 - \$750,000	No cost share required.

Cost sharing is an eligibility criterion and is not considered in the peer review of applications. Cost share that appears in the project budget should be calculated carefully. Recipients are expected to meet their cost share commitments.

[Click here for further information on cost share.](#)

## C3. Other Eligibility Information

There is no limit to the number of applications an eligible applicant may submit under this announcement. Individual Project Directors may be named on multiple applications under this announcement. However, the same proposal may not be submitted to IMLS under more than one project type listed in [Section A3](#).

Applications involving partnerships or collaborations are welcome. When two or more eligible institutions or organizations work together on a project, one of them must meet all eligibility requirements, serve as the lead applicant, and administer the award on behalf of the other(s). The lead applicant must meet all eligibility requirements. If IMLS funds the project, the lead applicant will be programmatically, fiscally, and legally responsible for the award.

IMLS will not review applications from ineligible applicants. IMLS will notify each applicant whose application will not be reviewed because the organization is determined to be ineligible.

IMLS will not make awards to ineligible applicants. In order to receive an IMLS award, an organization must be eligible and be in compliance with applicable requirements.

The application process for the National Leadership Grants for Libraries Program consists of two phases. For Phase I, all applicants must submit two-page Preliminary Proposals (see [Section D2](#)). For

Phase II, selected applicants will be invited to submit full proposals (Invited Full Proposals) (see [Section D3](#)). For both phases, applicants must submit their materials by the deadlines indicated on page 1 of this Notice of Funding Opportunity. Late applications will not be considered for funding under this notice. Only Invited Full Proposals will be considered for funding.

## D. Application and Submission Information

### D1. Application Package

Applicants must apply electronically through [Grants.gov Workspace](#) or a Grants.gov system-to-system solution. Use one of the following identifiers to locate the application package in [Grants.gov](#):

- Funding Opportunity Number: NLG-Libraries-FY23
- Assistance Listing Number: 45.312

To request an audio recording of this announcement, call 202-653-4744. To request a paper copy of this announcement, call 202-653-4744 or email [imls-librarygrants@imls.gov](mailto:imls-librarygrants@imls.gov).

Persons who are deaf or hard of hearing (TTY Users) can contact IMLS at 202-207-7858 via 711 for TTY-Based Telecommunications Relay Service.

### D2. Content and Form of Application Submission for Phase I Preliminary Proposals

The Table of Application Components below will help you prepare a complete Preliminary Proposal application. The links lead to more information and instructions for each application component.

Applications missing any Required Documents from this list will be considered incomplete and may be rejected from further consideration. (See 2 C.F.R. § 3187.9.)

#### D2a. Table of Application Components for Phase I Preliminary Proposals

Component	Format	File name to use
<b>Required Documents</b> Please see the guidance in <a href="#">Section D2c</a> for more information.		
<a href="#">The Application for Federal Domestic Assistance/Short Organizational Form</a> (SF-424S)	Grants.gov form	n/a
<a href="#">IMLS Supplementary Information Form</a> (including Abstract)	Grants.gov form	n/a
<a href="#">IMLS Library - Discretionary Program Information Form</a>	Grants.gov form	n/a
<a href="#">Preliminary Proposal Narrative</a> (two pages max.)	PDF document	Narrative.pdf

## D2b. Format, Name, and Sequence of the Application Components for Phase I Preliminary Proposals

**Document format:** The SF-424S, the IMLS Supplementary Information Form (including Abstract), and the IMLS Library - Discretionary Program Information Form are created in Grants.gov Workspace. The Preliminary Proposal Narrative must be submitted as a PDF document.

**Page limits:** Note the page limit for the Preliminary Proposal Narrative. IMLS will remove any additional pages and will not send them to reviewers as part of the application.

**Naming convention:** Use the naming conventions indicated in the table above. **IMPORTANT:** Attachment file names are limited to the following characters: A-Z, a-z, 0-9, underscore (\_), hyphen (-), space, period (.). If attachment file names use any other characters, the application may be rejected by Grants.gov.

**Attachment order:** In Grants.gov, attach all application components in the sequence listed in the table above.

**Complete applications:** Use the table above as a checklist to ensure that you have created and attached all necessary application components.

## D2c. Instructions for Required Documents for Phase I Preliminary Proposals

### 1. The Application for Federal Domestic Assistance/Short Organizational Form (SF-424S)

The SF-424S is part of the application package that you complete in Grants.gov Workspace. [Click here for instructions on completing the SF-424S.](#)

### 2. IMLS Supplementary Information Form (including Abstract)

The IMLS Supplementary Information Form (including Abstract) is part of the application package that you complete in Grants.gov Workspace. [Click here for instructions on completing it.](#) Preliminary Proposals do not require a full abstract. You may enter the "Project Description" (about 120 words) from the SF-424S.

### 3. IMLS Library - Discretionary Program Information Form

The IMLS Library - Discretionary Program Information Form is part of the application package that you complete in Grants.gov Workspace. [Click here for instructions on completing it.](#)

### 4. Preliminary Proposal Narrative

Write a Narrative that includes the elements described below and save it as a PDF.

- Limit the Narrative to two (2) numbered pages. We will remove any additional pages, and we will not send them to reviewers as part of your application.
- Consider each Narrative question and be mindful of each section's review criteria as listed in [Section E1a](#).
- Be clear and concise with a minimum of technical jargon and acronyms.
- Make sure your organization's name appears at the top of each page.
- Use at least 0.5-inch margins on all sides and a font size of at least eleven points.

If your proposal is selected for funding, the Preliminary Proposal Narrative may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

The Preliminary Proposal Narrative must be no longer than two pages and should be organized using the section headings of Project Justification, Project Work Plan, Diversity Plan (if applicable), and Project Results. Begin by identifying the National Leadership Grants for Libraries grant program goal and objective(s) you have chosen (see [Section A2](#)). Then write a summary that includes the name of the lead applicant organization, the amount of IMLS funds requested and the amount of funds provided as cost share (if any), the names of partner organizations, the overall need to be addressed, and the intended impact(s) of the project.

Then describe in greater detail the overall need that will serve as the focus of your project and its relevance to the project type you have selected. Consider the program goal and associated objective(s) as you develop the Project Justification. Lay out the Project Work Plan and the Diversity Plan (if applicable) and identify the Project Results you intend to achieve.

Preliminary Proposals for Applied Research projects must also include clearly defined research questions. See [Guidance for Research Applications](#).

Conclude the Preliminary Proposal Narrative with a one-paragraph budget summary. A proposal with a Narrative that does not include a budget summary will be rejected from further consideration. The budget summary must include a breakdown by category (e.g., Salaries and Wages; Travel; Materials, Supplies, and Equipment; Student Support) of how both IMLS and cost share funds (if required) would be allocated and the total anticipated costs of the project. Implementation project proposals requesting more than \$249,999 must include at least a 1:1 cost share from non-federal sources.

See [Section E1a](#) for the review criteria for Phase I Preliminary Proposals.

Please be advised that reviewers may also choose to visit your organization's website, as listed on the SF-424S form provided with your application.

## D2d. Additional Information

Applicants may contact an IMLS Program Contact prior to submitting a Preliminary Proposal for general information regarding the application process. Contact information is available on the [National Leadership Grants for Libraries Program page](#).

[Contact Grants.gov](#) or call their help line at 1-800-518-4726 for assistance with software issues, registration issues, and technical problems.

## D3. Content and Form of Application Submission for Phase II Invited Full Proposals

Of those applicants who submit two-page Preliminary Proposals, IMLS will invite a subset to submit full proposals. An applicant who is asked to submit an Invited Full Proposal must submit an application by 11:59 p.m. U.S. Eastern Time on March 17, 2023. IMLS makes awards only to eligible applicants that submit Invited Full Proposal applications through Grants.gov on or before this deadline. Complete applications will be accepted only from applicants who have submitted Preliminary Proposals and have been invited to submit full proposals.

The Table of Application Components for Invited Full Proposals below will help you prepare a complete Invited Full Proposal application. The links lead to more information and instructions for each application component.

Applications missing any Required Documents or Conditionally Required Documents from this list will be considered incomplete and may be rejected from further consideration. (See 2 C.F.R. § 3187.9.)

### D3a. Table of Application Components for Phase II Invited Full Proposals

Component	Format	File name to use
<b>Required Documents</b> Please see the guidance in <a href="#">Section D3c</a> for more information.		
<a href="#">The Application for Federal Domestic Assistance/Short Organizational Form</a> (SF-424S)	Grants.gov form	n/a
<a href="#">IMLS Supplementary Information Form</a> (including Abstract)	Grants.gov form	n/a
<a href="#">IMLS Library – Discretionary Program Information Form</a>	Grants.gov form	n/a
<a href="#">Organizational Profile</a> (one page max.)	PDF document	Organizationalprofile.pdf
<a href="#">Narrative</a> (ten pages max.)	PDF document	Narrative.pdf
<a href="#">Schedule of Completion</a> (one page per year max.)	PDF document	Scheduleofcompletion.pdf
<a href="#">Performance Measurement Plan</a> (two pages max.)	PDF document	Perfmeasurement.pdf
<a href="#">IMLS Budget Form</a>	IMLS PDF form	Budget.pdf
<a href="#">Budget Justification</a>	PDF document	Budgetjustification.pdf
<a href="#">List of Key Project Staff and Consultants</a> (one page max.)	PDF document	Projectstaff.pdf
<a href="#">Resumes of Key Project Staff and Consultants</a> (two pages each max.)	PDF document	Resumes.pdf
<a href="#">Digital Products Plan</a> (two pages max.)	PDF document	Digitalproduct.pdf

<b>Conditionally Required Documents</b> Please see the guidance in <a href="#">Section D3d</a> for more information.		
<a href="#">Proof of Private, Nonprofit Status</a>	PDF document	Proofnonprofit.pdf
<a href="#">Final Federally Negotiated Indirect Cost Rate Agreement</a>	PDF document	Indirectcostrate.pdf
<a href="#">Data Management Plan</a> (two pages max.)	PDF document	Datamanagement.pdf
<b>Supporting Documents</b> Please see the guidance in <a href="#">Section D3e</a> for more information.		
<a href="#">Information that supplements the Narrative and supports the project description provided in the application</a>	PDF document	Supportingdoc1.pdf Supportingdoc2.pdf Supportingdoc3.pdf

### D3b. Format, Name, and Sequence of the Application Components for Phase II Invited Full Proposals

**Document format:** Aside from the SF-424S, the IMLS Supplementary Information Form (including Abstract), and the IMLS Library - Discretionary Program Information Form, which are created in Grants.gov Workspace, all application components must be submitted as PDF documents.

**Page limits:** Note the page limits listed in the table above. IMLS will remove any additional pages and will not send them to reviewers as part of your application.

**Naming convention:** Use the naming conventions indicated in the table above. **IMPORTANT:** Attachment file names are limited to the following characters: A-Z, a-z, 0-9, underscore (\_), hyphen (-), space, period (.). If attachment file names use any other characters, the application may be rejected by Grants.gov.

**Attachment order:** In Grants.gov, attach all application components in the sequence listed in the table above. Use all available spaces in the “Attachments Form” first. Attach any additional application components using the “Other Attachment File(s)” boxes.

**Complete applications:** Use the table above as a checklist to ensure that you have created and attached all necessary application components.

### D3c. Instructions for Required Documents for Phase II Invited Full Proposals

#### 1. The Application for Federal Domestic Assistance/Short Organizational Form (SF-424S)

The SF-424S is part of the application package that you complete in Grants.gov Workspace. [Click here for instructions on completing the SF-424S.](#)

## 2. IMLS Supplementary Information Form (Including Abstract)

The IMLS Supplementary Information Form (including Abstract) is part of the application package that you complete in Grants.gov Workspace. [Click here for instructions on completing it.](#)

## 3. IMLS Library – Discretionary Program Information Form

The IMLS Library - Discretionary Program Information Form is part of the application package that you complete in Grants.gov Workspace. [Click here for instructions on completing it.](#)

## 4. Organizational Profile

Create a one-page Organizational Profile for the lead applicant, addressing the following, and save it as a PDF.

- Your organization's mission or statement of purpose, noting the source, approving body, and date of the official document in which it appears
- Your organization's governance structure if your library is located within a parent organization or if your organization is a nonprofit affiliated with a library
- Your service area (i.e., communities and/or audiences served, including size, demographic characteristics, and geographic area)
- A brief history of your organization, focusing on the organizational unit that will be directly involved in carrying out the work

If your proposal is selected for funding, the Organizational Profile may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

## 5. Invited Full Proposal Narrative

Write a Narrative that addresses the questions listed under each section heading and save it as a PDF.

- Limit the Narrative to ten numbered pages. We will remove any additional pages, and we will not send them to reviewers as part of your application.
- Consider each Narrative question and be mindful of each section's review criteria as listed in [Section E1b](#).
- Be clear and concise with minimal use of technical jargon and acronyms.
- Include references throughout your Narrative to any Supporting Documents that provide supplementary material.
- Make sure your organization's name appears at the top of each page.
- Use at least 0.5-inch margins on all sides and a font size of at least eleven points.

If your proposal is selected for funding, the Narrative may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

Organize your Narrative using the section headings of Project Justification, Project Work Plan, Diversity Plan (if applicable), and Project Results. Consider the National Leadership Grants for Libraries Program goals and objectives ([Section A2](#)) as you develop the Invited Full Proposal Narrative.



Narratives for Applied Research projects must also include clearly defined research questions. See [Guidance for Research Applications](#).

### Project Justification

- Which program goal and associated objective(s) of the National Leadership Grants for Libraries Program will your project address (see [Section A2](#))?
- What current, broadly significant need, problem, or challenge does your proposal address, and how was it identified? Describe how you have used demographic information, economic circumstances, and other relevant data from reliable sources to define the need, problem, or challenge and develop the scope for the project.
- Who is the target group for your project? “Target group” refers to those who will be most immediately and positively affected by your project. Identify the number of individuals in the target group or in each target group, if you identify more than one.
- Who are the ultimate beneficiaries for this project? “Beneficiaries” refers to those who are likely to be aided in the long-term by your project. They may or may not be the same as your “target group.” Identify the number of individuals who will benefit from your project in the long term, if reliable and defensible counts are possible. Otherwise describe the characteristics of the beneficiaries you expect to be served eventually by your project.
- How does this proposed project differ from, complement, or build upon existing theory, scholarship, and practice?

### Project Work Plan

- What specific activities will you carry out and in what sequence?
- Who will plan, execute, and manage your project?
- What time, financial, personnel, and other resources will you need to carry out the activities?
- How have the perspectives and contributions of the target group(s) been incorporated into the Project Work Plan and how will ongoing external input, validation, and consensus building be accommodated in the project? Have you included evaluation or an iterative design, where appropriate?
- How will you track your progress toward achieving your intended results?
- How and with whom will you disseminate your project findings?

*Additional questions for Applied Research proposals only.* See [Guidance for Research Applications](#) for further details.

- What are your research questions, methods, and theoretical framing?
- What is the relevance of your proposed research for current practice?
- What type of data will you gather for your research (separate from that identified in your Performance Measurement Plan)?
- How will you collect, analyze, and use the data?
- Does your study require Institutional Review Board (IRB) approval? If so, what steps have you taken to secure IRB approval?



### Diversity Plan (if applicable)

- How will you include a diversity of perspectives and practices in the project?
- How will the relevant participants and communities be involved in defining the challenges or opportunities and creating and implementing the project?
- How will the project strengthen the field's commitment to diversity, equity, and inclusion practices?

### Project Results

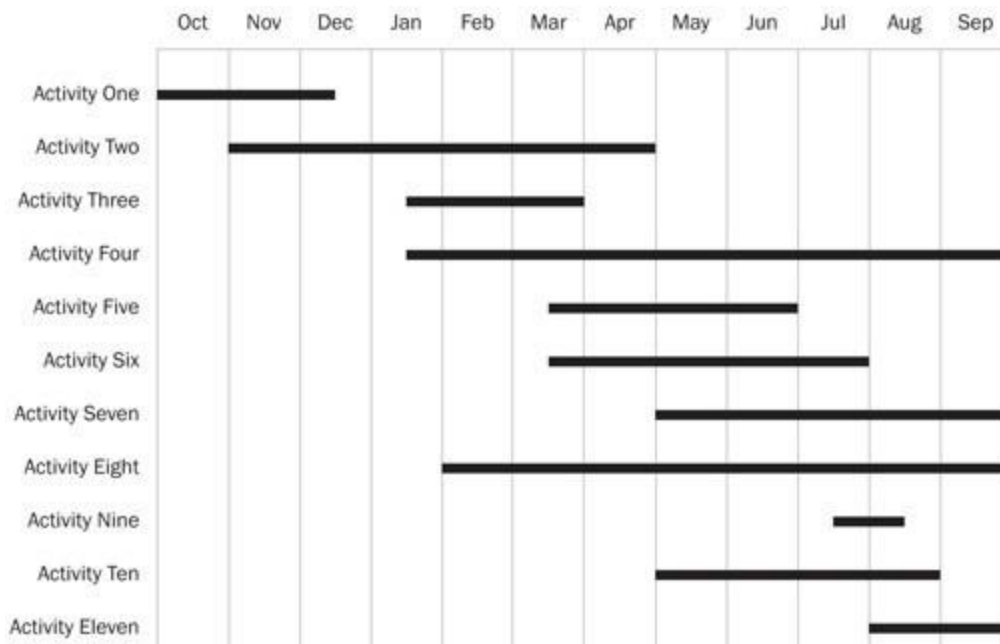
- What are your project's intended results, and how will they address the need, problem, or challenge you have identified? Be sure to address this question from the dual perspectives of advancing knowledge and understanding and ensuring that the federal investment made through this grant generates benefits to society.
- How will you ensure project deliverables are readily adaptable, generalizable, and usable by other institutions and communities nationally?
- How will you sustain the benefit(s) of your project beyond the conclusion of the period of performance?

See [Section E1b](#) for the review criteria for Phase II Invited Full Proposals.

Please be advised that reviewers may also choose to visit your organization's website, as listed on the SF-424S form provided with your application.

## 6. Schedule of Completion

The Schedule of Completion should reflect each major activity identified in your application Narrative and the project dates identified on the SF-424S and the IMLS Budget Form. It should show when each major project activity will start and end. The schedule must be no longer than one page per project year. See the sample Schedule of Completion below. Save this document as a PDF.



If your proposal is selected for funding, the Schedule of Completion may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

## 7. Performance Measurement Plan

The Performance Measurement Plan should show how you will monitor and assess your performance as a grantee from the perspectives of Effectiveness, Efficiency, Quality, and Timeliness for your overall project (see [Section A4](#)).

For each measure, identify what data you will collect from what source, the method you will use to collect it, and according to what schedule. The chart below provides sample statements for each measure and a space to record your own. [Click here for a fillable version of this chart](#) (DOCX, 25KB) which you are welcome, but not required, to use. Limit your Performance Measurement Plan to two pages and save your document as a PDF.

If your proposal is selected for funding, the Performance Measurement Plan may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

Performance Measure	Data We Will Collect (e.g., counts, costs, weights, volumes, temperatures, percentages, hours, observations, opinions, feelings)	Source of Our Data (e.g., members of the target group, project staff, stakeholders, internal/external documents, recording devices, databases)	Method We Will Use (e.g., survey, questionnaire, interview, focus group, informal discussion, observation, assessment, document analysis)	Schedule (e.g., daily, weekly, monthly, quarterly, annually, beginning/end)
<b>Effectiveness:</b> The extent to which activities contribute to achieving the intended results	<i>Example:</i> At the end of each month, using a report prepared by the registrar, we will compare the cumulative count of rehoused objects against the total number proposed for the project. <i>Example:</i> At the end of each project year, our external consultant will present results of the ongoing observation-based evaluation and compare them against our intended project results.			
<b>Efficiency:</b> How well resources (e.g., funds, expertise, time) are used and costs are minimized while generating maximum value for the target group	<i>Example:</i> Twice per year, we will assess our expenditures for program supplies on a per-person-served basis. <i>Example:</i> Each quarter, we will calculate the dollar value of volunteer hours contributed to the project as recorded in our online volunteer management system.			
<b>Quality:</b> How well the activities meet the requirements and expectations of the target group	<i>Example:</i> At the beginning, the mid-point, and end of the project, we will administer a satisfaction survey to staff who have participated in the training. <i>Example:</i> We will gather opinions about our online services through questionnaires provided to every 20 <sup>th</sup> user.			
<b>Timeliness:</b> The extent to which each task/activity is completed within the proposed timeframe	<i>Example:</i> Every six months, our Project Director will assess the fit between our proposed Schedule of Completion and actual activity completion dates. <i>Example:</i> Each quarter, each project partner will submit to our Project Director a templated report showing their progress on meeting project milestones.			

## 8. IMLS Budget Form

Download and complete the current [IMLS Budget Form](#) (PDF, 1.1MB). [Click here for instructions on completing it.](#)

## 9. Budget Justification

Write a Budget Justification to identify each expense and show the method of cost computation used to determine each dollar amount, including any that you may have consolidated and summarized on the IMLS Budget Form. Save this document as a PDF. [Click here for detailed instructions.](#)

## 10. List of Key Project Staff and Consultants

Write a one-page list of only those staff and consultants whose expertise is essential to the success of the project and save it as a PDF. Do not list all staff involved in the project. If you cannot identify key project staff by the application deadline, then list the position title(s) instead. This list must include the Project Director listed in Item 7 of the SF-424S.

## 11. Resumes of Key Project Staff and Consultants

Provide a resume of no more than two pages for each individual whose expertise is essential to the success of the project. Save all the resumes in a single PDF. You must include the resume of the Project Director listed in Item 7 of the SF-424S. If you cannot identify key project staff by the application deadline, then instead of a resume, provide position description(s) including the qualities, range of experience, and education necessary to successfully implement and complete project activities.

## 12. Digital Products Plan

IMLS defines digital products very broadly to include digital content, resources, assets, software, and/or datasets. In a Digital Products Plan of no more than two pages, address each of the following for each type of digital product you will create during your project.

- **Type:** What types of digital products will you create?
- **Availability:** How will you make your digital products openly available (as appropriate)?
- **Access:** What rights will you assert over your digital products, and what limitations, if any, will you place on their use? Will your products implicate privacy concerns or cultural sensitivities, and if so, how will you address them?
- **Sustainability:** How will you ensure the sustainability of your digital products?

[Click here for Guidance for Creating a Digital Products Plan.](#) Save the document as a PDF.

If your proposal is selected for funding, the Digital Products Plan may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

[\(Back to Table of Application Components\)](#)

## D3d. Conditionally Required Documents

These are documents that may be required, depending upon the circumstances. Please see the table below.

Failure to provide a Conditionally Required Document will result in your application's being considered incomplete, and it may be rejected from further consideration.

If you are:	Then you must provide:	Notes:
Applying as a private, nonprofit institution, as indicated by choosing “M” as the Applicant Type code in 5d of the SF-424S form.	A copy of the IRS letter indicating your eligibility for nonprofit status under the applicable provision of the Internal Revenue Code of 1954, as amended.	You must submit this letter with each application whether or not you have submitted it with other applications in the current year or in previous years.  We will not accept a letter of State sales tax exemption as proof of nonprofit status.
Using a federally negotiated indirect cost rate in your budget.	A current copy of your Final Federally Negotiated Indirect Cost Rate Agreement.	If you do not have a current negotiated (including provisional) indirect cost rate and elect to charge a de minimis rate of 10 percent of Modified Total Direct Costs (see 2 C.F.R. part 200, including 2 C.F.R. §§ 200.1 and 200.414(f)), you do not need to provide any documentation.
Submitting an Applied Research project proposal.	A Data Management Plan (two pages max.)  Explain how you will manage, share, preserve, document, and enable reuse of the information and research products you will create during the project.	See Appendix Five for guidance on creating a <a href="#">Data Management Plan</a> .  If your proposal is selected for funding, the Data Management Plan may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

[\(Back to Table of Application Components\)](#)

### D3e. Supporting Documents

Applicants may submit a reasonable number of supporting documents that supplement the Narrative in support of the project description. Supporting Documents should help IMLS staff and reviewers envision the project in greater detail, but they should not be used to introduce new topics nor to continue answers to the Narrative questions. Give each document a clear, descriptive title at the top of the first page. You may wish to consider the following:

- Bibliography or references relevant to your proposed project design or evaluation strategy
- Letters of commitment from partners, consultants, or others who will work closely with you on your project, receive grant funds, or contribute funds to the completion of project activities
- Letters of support from experts and stakeholders

- Reports from planning activities
- Contractor quotes
- Equipment specifications
- Needs assessments or asset maps developed specifically for this project or community

[\(Back to Table of Application Components\)](#)

## D4. Registration Requirements

Before submitting an application, an applicant organization must have a Unique Entity Identifier (UEI) number; a current and active System for Award Management (SAM) registration; and an active Grants.gov registration with an approved Authorized Organization Representative (AOR). Check materials and registrations well in advance of the application deadline to ensure that they are accurate, current, and active.

### D4a. Unique Entity Identifier

The Unique Entity Identifier (UEI) number is a non-proprietary alphanumeric identifier assigned to all entities (public and private companies, individuals, institutions, or organizations) who register to do business with the Federal Government. The UEI has replaced the D-U-N-S® Number and is requested in, and assigned by, the System for Award Management (SAM). Award recipients must inform any subrecipients that the recipient may not make a subaward unless the subrecipient has also obtained a UEI.

### D4b. System for Award Management (SAM)

The System for Award Management (SAM) is a federal repository that centralizes information about grant applicants and recipients. There is no fee to register with SAM. [Click here to learn more about SAM registration.](#)

### D4c. Grants.gov

Grants.gov is the centralized location for grant seekers to find and apply for federal funding opportunities.

Applicants must register with Grants.gov prior to submitting an application package. The multistep registration process generally cannot be completed in a single day. If your organization is not already registered, allow several weeks before the application deadline to complete this one-time process.

**Do not wait until the day of the application deadline to register.**

The Grants.gov user ID and password obtained during the registration process are required to submit an application when it is complete.

[Click here to learn more about Grants.gov registration and tips for using Grants.gov.](#)

## D5. Submission Dates and Times

**All organizations must submit their applications for funding using Grants.gov Workspace.** Do not submit through email or postal mail to IMLS.

For the National Leadership Grants for Libraries Program, Grants.gov will accept Preliminary Proposal applications through 11:59 p.m. U.S. Eastern Time on September 21, 2022. IMLS plans to extend invitations to submit full proposals in February 2023. Invited Full Proposal applications will be due through Grants.gov by 11:59 p.m. U.S. Eastern Time on March 17, 2023.

Under certain circumstances, IMLS allows an extension of grant application deadlines for adversely affected applicant organizations that are located in counties listed in Emergency Declarations and/or Major Disaster Declarations. See [Application Deadlines](#) for further information.

IMLS strongly recommends that applicants obtain a UEI number, register with SAM and Grants.gov, and complete and submit applications early. IMLS makes grants only to eligible applicants that submit complete applications, including attachments, through Grants.gov, on or before the deadline, as indicated by the date stamp generated by Grants.gov.

Visit [Grants.gov Support](#), email [support@grants.gov](mailto:support@grants.gov), or call Grants.gov Applicant Support at 1-800-518-4726 for technical assistance. Grants.gov Applicant Support is available 24 hours a day, seven days a week, except for federal holidays.

Grants.gov will generate a series of emails confirming the status of each application. Applicants can check the status of their application(s) in Grants.gov by using “[Track My Application](#).” For further details, visit [Check Application Status](#) at Grants.gov.

## D6. Intergovernmental Review

This funding opportunity is not subject to intergovernmental review per Exec. Order No. 12372.

## D7. Funding Restrictions

### D7a. Allowable and Unallowable Costs

Applicants may use IMLS funds and cost share only for allowable costs as found in IMLS and OMB government-wide cost-principle rules. Please consult 2 C.F.R. part 200 and 2 C.F.R. part 3187 for additional guidance on allowable costs.

The following list includes some examples of generally allowable costs, both for IMLS funds and for cost share (if applicable), under this announcement:

- personnel salaries, wages, and fringe benefits
- travel expenses for key project staff and consultants
- materials, supplies, software, and equipment related directly to project activities
- adaptive and/or assistive technologies and other resources and services to improve accessibility for persons with disabilities
- third-party costs
- publication design and printing
- program evaluation
- staff and volunteer training
- paid internships/fellowships
- indirect or overhead costs

Applicants must explain all proposed expenses in the Budget Justification.

The following list includes some examples of unallowable costs, both for IMLS funds and for cost share (if applicable), under this announcement:

- general fundraising costs, such as development office staff or other staff time devoted to general fundraising



- contributions to endowments
- general operating support
- acquisition of collections (see 2 C.F.R. § 3187.15(b))
- general advertising or public relations costs designed solely for promotional activities other than those related to the specific project
- construction or renovation of facilities (generally, any activity involving the construction trades is not an allowable cost)
- social activities, ceremonies, receptions, or entertainment

*If you have questions about whether specific activities are allowable, contact IMLS staff for guidance.*

## D7b. Costs for Third Parties

When a project requires the payment of federal funds to third parties (such as partners, consultants, collaborators, vendors, and/or service providers), it is the applicant organization's responsibility to determine whether a third party should be characterized as a subrecipient or a contractor. The characterization must be reflected in the terms of each agreement made with each third party. (See 2 C.F.R. § 200.1 for definitions of *contract*, *contractor*, *subaward*, and *subrecipient*; see also 2 C.F.R. § 200.331 (Subrecipient and contractor determinations).) IMLS grant funds may not be provided to any federal agency serving as a third party.

## D7c. Indirect Costs

An applicant can choose to:

- use a rate not to exceed their current indirect cost rate already negotiated with a federal agency;
- use an indirect cost rate proposed to a federal agency for negotiation, but not yet finalized, as long as it is finalized by the time of the award;
- use a rate not to exceed 10 percent of the Modified Total Direct Costs (MTDC) if the organization currently does not have a federally negotiated indirect cost rate and is not subject to other requirements (e.g., for States and local governments); or
- not include any indirect costs.

[Click here for further information on indirect costs.](#)

# E. Application Review Information

## E1. Review Criteria

IMLS instructs reviewers to evaluate applications according to the review criteria listed in this section and to consider all Required, Conditionally Required, and Supporting Documents as listed in [Section D2a](#) and [Section D3a](#).

Cost share is an eligibility criterion and is not considered in the review of applications. Cost share requirements for this grant program are addressed in [Section C2](#).

## E1a. Phase I Preliminary Proposals

IMLS will instruct reviewers to consider the following when evaluating Preliminary Proposals. Reviewers will consider all application components listed in [Section D2a](#).

- **Project Justification:** How well does the proposal align with the intent of the grant program as articulated in the program's goals and objectives (see [Section A2](#))? How well does it address current nationally significant needs, challenges, or opportunities in the field?
- **Project Work Plan:** What elements are in place and what elements are missing for successful execution of the proposed project? What recommendations do you have for improving the proposal?
- **Results and Impact:** Considering the topic, project type selection, amount of funds requested, and scope of potential impact, should the applicant be invited to submit a full proposal at this time? Why or why not?

## E1b. Phase II: Invited Full Proposals

IMLS will instruct reviewers to consider the following when evaluating Invited Full Proposals. Reviewers will consider all application components listed in [Section D3a](#).

### Project Justification

- Has the applicant selected an appropriate program goal and one or more of the associated objectives of the National Leadership Grants for Libraries Program described in [Section A2](#)?
- How well is the identified need, problem, or challenge current, broadly significant, clearly described, and fittingly supported by relevant data? Do the applicant's choices and use of specific data to define the problem to be addressed demonstrate a sufficient ability to manage and analyze data?
- Has the applicant appropriately defined the target group(s) and beneficiaries, as applicable, for this work?
- Does the applicant clearly articulate how the proposed work differs from, complements, or builds upon existing theory, scholarship, and practice?

### Project Work Plan

- Are the proposed activities informed by appropriate theory and practice?
- Do the identified staff, partners, and consultants possess the experience and skills necessary to complete the work?
- Are the time, financial, personnel, and other resources identified appropriate for the scope and scale of the project?
- Is there evidence that the perspectives and contributions of the target group(s) have been incorporated into the Project Work Plan? Does the project design allow for ongoing external input, validation, and/or consensus building? Has evaluation or an iterative design been included, where appropriate?
- Is the proposed Performance Measurement Plan likely to generate the required measures of Effectiveness, Efficiency, Quality, and Timeliness?



- Does the Digital Products Plan reflect an adequate understanding of appropriate practices and standards for creating and managing the types of digital products proposed?
- Are the methods proposed for dissemination or reuse of project findings likely to be effective?

*Additional questions for Applied Research proposals only. See [Guidance for Research Applications](#) for further details.*

- Are the proposed research questions, methods, and theoretical framing appropriate for addressing the identified need, problem, or challenge?
- Is the research informed by current practice and does it have the potential to produce generalizable results that could advance professional practice?
- Are the selected methods for data collection, analysis, and use appropriate for the project?
- Is the approach to securing Institutional Review Board (IRB) approval appropriate?
- Is the Data Management Plan for managing, sharing, preserving, documenting, and enabling reuse of the information and research products created during this project appropriate?
- Is the dissemination and communication plan comprehensive in terms of broad reach to practitioners and other communities of interest?

#### **Diversity Plan (if applicable)**

- What specific activities in the proposal will contribute to diversity, equity, and inclusion practices in the library and archival fields?
- Have the relevant participants and communities been included in defining the challenges or opportunities and implementing the project?
- Will the project strengthen the field's commitment to diversity, equity, and inclusion practices?

#### **Project Results**

- How well will the project results address the identified need, problem, or challenge?
- Is it clear that the federal investment made through this grant will generate identifiable benefits to society?
- Are project deliverables readily adaptable, generalizable, and usable by other institutions and communities nationally?
- Is the plan to sustain the benefits of the project beyond the conclusion of the period of performance reasonable and practical?

## **E2. Review and Selection Process**

IMLS uses a peer review process to evaluate all complete applications from eligible institutions. Reviewers are professionals in the field with relevant knowledge and expertise in the types of project activities identified in the applications. IMLS instructs reviewers to evaluate applications according to the review criteria. Peer reviewers must comply with IMLS's federal ethics and conflicts of interest requirements.

The Director takes into account the input provided by the review process and makes final funding decisions consistent with the purposes of the agency's mission and programs.

### E3. Designated Integrity and Performance System

IMLS, prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold (currently \$250,000 but periodically adjusted), is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIS) (see 41 U.S.C. § 2313 and 41 U.S.C. § 134).

An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered.

IMLS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in considering the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.206 (Federal awarding agency review of risk posed by applicants).

### E4. Anticipated Announcement and Award Dates

IMLS will not release information about the status of an application until the applications have been reviewed and all deliberations are complete at the conclusion of each phase. IMLS expects to notify both successful and unsuccessful applicants of (1) invitation decisions by email in February 2023 and (2) final funding decisions by email in July 2023.

## F. Award Administration Information

### F1. Federal Award Notices

IMLS will notify both successful and unsuccessful applicants of funding decisions by email.

### F2. Administrative and National Policy Requirements

Organizations that receive IMLS grants or cooperative agreements are subject to [2 C.F.R. part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#), [2 C.F.R. part 3187](#), the [IMLS General Terms and Conditions for IMLS Discretionary Grant and Cooperative Agreement Awards](#) (PDF, 460KB) and the [IMLS Assurances and Certifications](#).

Organizations that receive IMLS funding must be familiar with these requirements and comply with applicable law.

Applicants for federal funds must certify that they are responsible for complying with certain nondiscrimination, debarment and suspension, drug-free workplace, and lobbying laws. These are set out in more detail, along with other requirements, in the [IMLS Assurances and Certifications](#). By submitting the application, which includes the [IMLS Assurances and Certifications](#), applicants certify that they are in compliance with these requirements and that they will maintain records and submit any reports that are necessary to ensure compliance. Failure to comply with these statutory and regulatory requirements may result in the suspension or termination of an award and require that the recipient return funds to the government. For information about award termination, please see the [IMLS General Terms and Conditions for IMLS Discretionary Grant and Cooperative Agreement Awards](#) and 2 C.F.R. § 200.340.

## F3. Reporting

Recipients must comply with the following reporting requirements.

Interim and final financial and performance reports are due according to the reporting schedule that is part of the official award notification. Grantees must submit reports using the IMLS electronic grants management system. In support of the agency's commitment to open government, interim and final performance reports may be made accessible on the IMLS website to engage the public in communities of practice and to inform application development and grant-making strategies.

For details, please see the [Manage Your Award: Grant Administration](#) page on the IMLS website.

Grantees must also comply with 2 C.F.R. §§ 180.335 and 180.350 and 2 C.F.R. part 3185 with respect to providing information regarding all debarment, suspension, and related offenses, as applicable.

If the federal share of the federal award is more than \$500,000 over the period of performance, recipients should refer to the reporting requirements reflected in 2 C.F.R. part 200, Appendix XII – Award Term and Condition for Recipient Integrity and Performance Matters (see also 2 C.F.R. §§ 200.113 (Mandatory disclosures) and 2 C.F.R. §§ 200.211(c)(iii) (Information contained in a Federal award).)

## G. Contacts

[Click here for IMLS staff contact information for this program.](#) IMLS staff are available by phone and email to answer programmatic and administrative questions relating to this grant program. IMLS staff also host webinars to introduce potential applicants to funding opportunities. [Click here for a list of webinars and instructions for accessing them.](#)

Visit the [Federal Service Desk](#) or call 1-866-606-8220 for questions about registering or renewing your registration with login.gov or SAM.gov. Hours of operation are Monday through Friday, 8 a.m. to 8 p.m. Eastern Time.

Visit [Grants.gov Support](#), email [support@grants.gov](mailto:support@grants.gov), or call Grants.gov Applicant Support at 1-800-518-4726 for assistance with software issues, registration issues, and technical problems. Grants.gov Applicant Support is available 24 hours a day, seven days a week, except for federal holidays.

Be sure to obtain a case number when calling the Federal Service Desk or Grants.gov for support.

## H. Other Information

### H1. Acknowledging IMLS Support

Grantees must include an acknowledgement of IMLS support in all grant products, publications, websites, and presentations developed with IMLS funding. All work products should reference IMLS and include the associated grant award number(s). [Click here for the Grantee Communications Kit](#), which provides guidance for fulfilling these requirements.

### H2. Disclosure of Information in Applications

IMLS may share grant applications, products, and reports to further the mission of the agency and the development of museum, library, and information services.

As a general practice, and except for information that is privacy-protected, information contained in IMLS applications that receive funding may be made public. Please identify any information you deem confidential and/or proprietary and seek to have protected.

### **H3. Conflict of Interest Requirements**

As non-federal entities, award recipients must follow IMLS conflict of interest policies for federal awards. [Click here for more information about IMLS conflict of interest requirements.](#)

### **H4. Additional Information about IMLS**

Visit the [IMLS website](#) for additional information on IMLS and IMLS activities.

### **H5. IMLS Obligations to Make Awards**

IMLS is not obligated to make any federal award or commitment as a result of this announcement.

### **H6. Peer Review**

Any individual who is interested in serving as a peer reviewer is welcome to enter their contact information and identify their experience and expertise through the IMLS [online reviewer application portal](#). IMLS staff will notify the individuals who are identified as potential reviewers by email prior to the next review period to confirm availability.

### **H7. Copyright Information**

Awardees may copyright any work that is subject to copyright and was developed under an award or for which ownership was purchased. IMLS reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for federal purposes and to authorize others to do so. IMLS encourages awardees to make their works produced with IMLS support widely available, including through the use of open licenses.

### **H8. Application Completion Time**

Complete applications include the elements listed in the Table of Application Components in [Section D2a](#) and [Section D3a](#). IMLS estimates the average amount of time needed for one applicant to complete the narrative portion of a Preliminary Proposal to be 15 hours and for an Invited Full Proposal to be 45 hours. This includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and writing and reviewing the answers.

IMLS estimates that it will take an average of 15 minutes per response each for the IMLS Supplementary Information Form (including Abstract) and the IMLS Library - Discretionary Program Information Form and three hours per response for the IMLS Budget Form.

IMLS welcomes your suggestions for improving this collection of information and for making it as easy to use as possible. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to [grantsadmin@imls.gov](mailto:grantsadmin@imls.gov). Please note that applicants are not required to respond to any collection of information unless it displays a currently valid U.S. Office of Management and Budget (OMB) control number.

### **H9. PRA Clearance Number**

OMB Control #: 3137-0091, Expiration date: 6/30/2024

## Appendix One – IMLS Assurances and Certifications

As a federal agency, IMLS is required to obtain from all applicants certifications, including those regarding Nondiscrimination, Debarment and Suspension, Federal Debt Status, and Drug-Free Workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a “Disclosure of Lobbying Activities” form (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. The authorized representative must review the statement and provide the certification in item 9 on the SF-424S.

### Assurances Statement

By submitting the application, the authorized representative, on behalf of the applicant, assures and certifies that, should a federal award be made, the applicant will comply with the statutes outlined below and all related IMLS regulations (for example, see 2 C.F.R. Chapter XXXI and 45 C.F.R. Chapter XI). These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances and that the United States Government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized representative whose signature appears on the application form.

### Certifications Required of All Applicants

#### Financial, Administrative, and Legal Accountability

The authorized representative, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, reporting, recordkeeping, and completion of the project described in this application.

The authorized representative, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with applicable law. The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the provisions of applicable OMB Circulars and regulations.

#### Nondiscrimination

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

1. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which prohibits discrimination on the basis of race, color, or national origin (note: as clarified by Exec. Order No. 13166, the applicant must take reasonable steps to ensure that limited English proficient (LEP) persons have meaningful access to the applicant’s programs (see IMLS guidance at 68 Federal Register 17679, April 10, 2003));
2. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*, including § 794), which prohibits discrimination on the basis of disability (note: IMLS applies the regulations in 45 C.F.R. part 1181 in determining compliance with Section 504 as it applies to recipients of federal assistance);

3. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1689), which prohibits discrimination on the basis of sex in education programs;
4. The Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age; and
5. The requirements of any other nondiscrimination statute(s) which may apply to the application.

### **Debarment and Suspension**

The applicant shall comply with 2 C.F.R. part 3185 and 2 C.F.R. part 180, as applicable. The authorized representative, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant nor any of its principals:

1. are presently excluded or disqualified;
2. have been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. § 180.800(a) or had a civil judgment rendered against it or them for one of those offenses within that time period;
3. are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses listed in 2 C.F.R. § 180.800(a); or
4. have had one or more public transactions (federal, state, or local) terminated within the preceding three years for cause or default.

Where the applicant is unable to certify to any of the statements in this certification, the authorized representative, on behalf of the applicant, shall attach an explanation to the application.

The applicant, as a primary tier participant, is required to comply with 2 C.F.R. part 180 (Subpart C) (Responsibilities of Participants Regarding Transactions Doing Business with Other Persons) as a condition of participation in the award. The applicant is also required to communicate the requirement to comply with 2 C.F.R. part 180 (Subpart C) (Responsibilities of Participants Regarding Transactions Doing Business with Other Persons) to persons at the next lower tier with whom the applicant enters into covered transactions.

As noted in the preceding paragraph, applicants who plan to use IMLS awards to fund contracts should be aware that they must comply with the communication and verification requirements set forth in the above Debarment and Suspension provisions.

### **Federal Debt Status**

The authorized representative, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

### **Drug-Free Workplace**

The authorized representative, on behalf of the applicant, certifies, as a condition of the award, that the applicant will or will continue to provide a drug-free workplace by complying with the requirements in 2 C.F.R. part 3186 (Requirements for Drug-Free Workplace (Financial Assistance)). In particular, the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of 2 C.F.R. part 3186, which adopts the Government wide implementation (2 C.F.R. part 182) of the Drug-Free Workplace Act of 1988 (41 U.S.C. §§ 8101–8106). This includes, but is not limited to: making a good faith effort, on a continuing basis, to maintain a drug-free workplace; publishing a drug-free workplace statement; establishing a drug-free awareness program for employees; taking actions concerning employees who are convicted of violating drug statutes in the workplace; and identifying (either at the time of application or upon



award, or in documents kept on file in the recipient's offices) all known workplaces under federal awards.

### **Trafficking in Persons**

The authorized representative, on behalf of the applicant, certifies, as a condition of the award, that the applicant will comply with the trafficking in persons requirements that are set out in the General Terms and Conditions for IMLS Discretionary Awards (2 C.F.R. § 175.15 (Award Term)).

### **Certification Regarding Lobbying Activities**

(Applies to Applicants Requesting Funds in Excess of \$100,000) (31 U.S.C. § 1352)

The authorized representative certifies, to the best of his or her knowledge and belief, that:

- (a) No federal appropriated funds have been paid or will be paid, by or on behalf of the authorized representative, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant, as provided in 31 U.S.C. § 1352) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the authorized representative shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) The authorized representative shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is placed when the transaction is made or entered into. Submission of this certification is a prerequisite for making or entering into the transaction imposed by 31 U.S.C. § 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **General Certification**

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program.

## **Certifications Required for Certain Projects**

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

**Subawards**

Under IMLS regulations at 2 C.F.R. § 3187.14, a recipient may not make a subaward unless expressly authorized by IMLS. A recipient may contract for supplies, equipment, and services, subject to applicable law, including but not limited to applicable Office of Management and Budget Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards set forth in 2 C.F.R. part 200.

**Native American Human Remains and Associated Funerary Objects**

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 *et seq.*), which applies to any organization that controls or possesses Native American human remains, associated funerary objects and/or cultural items, and which receives federal funding, even for a purpose unrelated to the Act.

**Historic Properties**

The authorized representative, on behalf of the applicant, certifies that the applicant will assist the awarding agency in ensuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (54 U.S.C. § 306101 *et seq.*), Exec. Order No. 11593, and any related applicable preservation laws.

**Environmental Protections**

The authorized representative, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- a. institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 *et seq.*) and Exec. Order No. 11514;
- b. notification of violating facilities pursuant to Exec. Order No. 11738;
- c. protection of wetlands pursuant to Exec. Order No. 11990, as amended by Exec. Order No. 12608;
- d. evaluation of flood hazards in floodplains in accordance with Exec. Order No. 11988, as amended (see Exec. Order No. 12148);
- e. assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 *et seq.*);
- f. conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 *et seq.*);
- g. protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f *et seq.*); and
- h. protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. § 1531-1543).

The authorized representative, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. § 1271 *et seq.*), related to protecting components or potential components of the national wild and scenic rivers system.

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the flood insurance purchase requirements of the Flood Disaster Protection Act of 1973, as



amended (42 U.S.C. § 4001 *et seq.*), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more, or as otherwise designated.

### **Research on Human Subjects**

The authorized representative, on behalf of the applicant, certifies that the project will comply with 45 C.F.R. part 46 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

### **Research on Animal Subjects**

The authorized representative, on behalf of the applicant, certifies that the project will comply with the Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 *et seq.*) pertaining to the care, handling, and treatment of warm-blooded animals held for research, teaching, or other activities supported by this award of assistance.

For further information on these certifications, contact IMLS at 955 L'Enfant Plaza North, SW, Suite 4000, Washington, DC, 20024-2135.

## **Appendix Two – Guidance for Required Registrations**

### **Acquiring a Unique Entity Identifier**

Until April 2022, all non-federal entities were required to obtain a Dun and Bradstreet Data Universal Numbering System (D-U-N-S®) Number in order to apply for, receive, and report on federal awards. The Unique Entity Identifier (UEI) has replaced the D-U-N-S® Number and will be requested in, and assigned by, the System for Award Management (SAM). Applicants with active SAM registrations can find their assigned UEI in their SAM records. Applicants without active SAM registrations will receive a UEI when they register in SAM.

For more information about the UEI, visit [gsa.gov/entityid](https://gsa.gov/entityid).

### **Registering with SAM**

The System for Award Management (SAM) is a federal repository that centralizes information about grant applicants and recipients and is free to all users. Applicants must be registered with SAM before registering with Grants.gov. [Click here to learn how to check on an organization's registration status in SAM.](#)

Representatives of organizations that must register with SAM for the first time must begin by creating a SAM user account through [login.gov](#). [Click here to access instructions and FAQs.](#) Then proceed to the registration process.

IMLS recommends that applicants allow several weeks to complete the SAM registration and to secure a CAGE Code.

Each applicant and recipient must maintain an active SAM registration with current information at all times during which it has an active award or an application under consideration by IMLS. IMLS may not make an award to an applicant until the applicant has complied with all applicable Unique Entity Identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time IMLS is ready to make a federal award, IMLS may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making an award to another applicant.

Applicants and recipients must renew their registrations in SAM at least every 12 months—and sooner if their information changes. An expired registration will prevent an organization from submitting applications via Grants.gov and receiving awards or payments. Grant payments will be made to the bank account that is associated with the organization's SAM registration.

## Registering with Grants.gov

Grants.gov is a website owned and operated by the Federal Government and is free to all users. Applicants must register with Grants.gov before submitting an application to IMLS. [Click here to learn more about the multistep registration process](#). Applicants should make sure that their SAM registration is current and active before registering with Grants.gov. Allow several weeks to complete the Grants.gov registration.

After an organization registers with Grants.gov and creates an Organizational Applicant Profile, the request for the organization's Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log into Grants.gov and assign the appropriate roles to individuals within the organization. This will include the Authorized Organization Representative (AOR) which will give permission to complete and submit applications on behalf of the organization. [Click here for more detailed instructions for creating a profile on Grants.gov](#).

Designating more than one Authorized Organization Representative (AOR) when registering in Grants.gov will help avoid last-minute crises in the event that a single AOR is unavailable when the organization is ready to submit the application. It is also important to update the contact information and password in Grants.gov whenever an AOR changes.

Visit [Grants.gov Support](#), email [support@grants.gov](mailto:support@grants.gov), or call Grants.gov Applicant Support at 1-800-518-4726 for technical assistance. Grants.gov Applicant Support is available 24 hours a day, seven days a week, except for federal holidays. [Click here for Grants.gov Applicant FAQs](#) with links to additional applicant resources.

## Working with Grants.gov Workspace

Grants.gov applicants apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different forms within an application. For each funding opportunity, applicants can create individual copies of a workspace to complete an application. [Click here for an overview of Grants.gov Workspace](#) with links to interactive graphics, videos, and Help Articles.

# Appendix Three – Guidance for Completing Forms and Other Application Components

## Grants.gov SF-424S Form

The SF-424S Form, or the Application for Federal Domestic Assistance/Short Organizational Form, is part of the application package downloaded from Grants.gov.

### Items 1 through 4

These items are automatically populated by Grants.gov.

### Item 5. Applicant Information

- a. **Legal Name:** Enter your organization's legal name as it appears in your SAM registration. This is the organization with the authority to apply directly for funding in this program. If you have

an organizational unit that will be carrying out the project, be sure that it is specified as the organizational unit on the IMLS Supplementary Information Form (including Abstract).

- b. **Address:** Enter your legal applicant's address as it appears in your SAM registration.
- c. **Web Address:** Enter your web address.
- d. **Type of Applicant:** Select the code that best characterizes your organization from the menu in the first dropdown box. Leave the other boxes blank.
- e. **Employer/Taxpayer Identification Number (EIN/TIN):** Enter the EIN or TIN assigned to your organization by the Internal Revenue Service.
- f. **Organizational UEI:** Enter your organization's Unique Entity Identifier (UEI). If your organization's SAM registration is active, you can find your assigned UEI in your SAM record. If you cannot locate your UEI, contact the Federal Service Desk at [www.fsd.gov](http://www.fsd.gov) or 1-866-606-8220.
- g. **Congressional District:** Enter your organization's congressional district. Use the following format: two-letter state abbreviation, followed by a hyphen, followed by a zero, followed by the two-digit district number. For example, if the organization is located in the 5th Congressional District of California, enter "CA-005." For the 12th Congressional District of North Carolina, enter "NC-012." For states and territories with "At Large" Congressional Districts—that is, one representative or delegate represents the entire state or territory—use "001," e.g., "VT-001."

If your organization does not have a congressional district (e.g., it is located in a U.S. territory that does not have districts), enter "00-000." To determine your organization's district, [click here to visit the House of Representatives website](#) and use the "Find Your Representative" tool.

#### Item 6. Project Information

- a. **Project Title:** Enter a brief descriptive title for your project. IMLS may use this title for public information purposes.
- b. **Project Description:** Enter a brief description (about 120 words) of your project. Tell us about the purpose of the project, the activities to be performed, the deliverables and expected outcomes, and the intended beneficiaries. Use clear language that can be understood by readers who might not be familiar with the discipline or subject area.
- c. **Proposed Project Start Date/End Date:** Enter the start date and end date of the proposed period of performance in the format mm/dd/yyyy. The project period begins on the first day of the month in which project activities start and ends on the last day of the month in which these activities are completed. Refer to [Section B](#) of this Notice of Funding Opportunity to determine when your project can begin.

#### Item 7. Project Director

The Project Director is the person who will have primary responsibility for carrying out your project's activities. Enter the requested information for this individual here.

*IMLS requires that the Project Director be a different person than the Authorized Representative.*

### Item 8. Primary Contact/Grants Administrator

The Primary Contact/Grants Administrator is the person who has primary responsibility for administering the award. Enter the requested information for this individual here. If the Primary Contact/Grants Administrator is the same as the Authorized Representative, please still complete both Items 8 and 9.

In some organizations this individual may be the same as the Project Director. If this is the case, check the box and skip to Item 9.

### Item 9. Authorized Representative

The Authorized Representative is the person who has the authority to legally bind your organization. Enter the requested information for this individual here. **The Authorized Representative cannot be the same person as the Project Director.** By checking the “I Agree” box at the top of Item 9, this individual certifies the applicant’s compliance with the [IMLS Assurances and Certifications](#) and any other relevant federal requirements.

The “Signature of Authorized Representative” and “Date Signed” boxes will be automatically populated by Grants.gov upon submission of the application. This will be the person whose name was listed as your organization’s authorized representative when you registered with Grants.gov. Please note that this name might not be the same as the name and other information you entered in Item 9 above; however, the person whose name appears in the “Signature of Authorized Representative” box must have authorization from your organization to submit this application on behalf of your organization.

Submission of the electronic application acknowledges that your organization certifies compliance with relevant federal requirements, including but not limited to the [IMLS Assurances and Certifications](#), to the same extent as the signature does on a paper application.

## IMLS Supplementary Information Form (including Abstract)

This is a dynamic form, so your answers to certain questions will determine what questions you see next.

### Applicant Information

Does the legal applicant identified on the SF-424S have an organizational unit that will perform the activities described in the application?

- If your organization has a parent organization, such as a university or a unit of state or local government, or cannot apply for grants on its own behalf (see Section C1), check YES.
- If your organization, on its own, meets the eligibility criteria for the grant program to which you are applying, check NO.

### Funding Request

IMLS funds requested: Enter the amount in dollars sought from IMLS.

Cost share/match amount: Enter the amount of non-federal funding you are providing. [Click here for further information on cost share.](#)

### Indirect Cost Rate

Select one option for calculating and including indirect costs in your project budget.

### Audience(s) Served

Select the primary audience(s) to be served by the activities described in the application. Choose no more than three. If you choose General Population, you may not choose any others.

## Abstract

Write an Abstract of no more than 3,000 characters in a concise narrative format for experts as well as a general audience, and paste it into the block provided. If your proposal is selected for funding, the Abstract may be published online, or otherwise shared, by IMLS. As such, it must not include any sensitive, proprietary, or confidential information.

Address the following:

- Identify the lead applicant and, if applicable, any collaborators.
- Describe the need, problem, or challenge your project will address, and how it was identified.
- List the high-level activities you will carry out and identify the associated time frame.
- Identify who or what will benefit from your project.
- Specify your project's intended results.
- Describe how you will measure your success in achieving your intended results.

At the end of the Abstract text, list from one to eight keywords that best characterize your project from the options listed in [Appendix Seven](#). Please separate your keywords with commas and note they will count toward your Abstract character count. IMLS may use these keywords as search terms in its compilations describing the agency's grantmaking and/or provide them as tools to help applicants, other awardees, and the public understand more about what IMLS supports.

## IMLS Library - Discretionary Program Information Form

Sections of this form are dynamic, so your answers to certain questions will determine what questions you see next.

**Section 1. Organizational Financial Information:** Provide the information requested in a-d, beginning with the most recently completed fiscal year. If you named an organizational unit in the IMLS Supplementary Information Form (including Abstract), this information must pertain to that unit.

**Section 2. Agency-Level Goals and Objectives:** Select one of the three IMLS Agency-Level Goals with which your project best aligns. Once you have selected a goal, then select one associated objective.

**Section 3. Grant Program:** Select National Leadership Grants for Libraries. Then select one project type. See [Section A3](#) for more information about project types.

## IMLS Budget Form

Make sure that JavaScript is enabled in your web browser. Download the [IMLS Budget Form](#) (PDF, 1.1MB) to your computer and work on it outside your web browser. When it is complete, save it as a PDF and upload it as part of your application through Grants.gov.

The IMLS Budget Form accommodates up to three years of project activities and expenses. Project timelines, allowable costs, and other budget details vary by program. Be sure to review the Notice of Funding Opportunity for the grant program/project type to which you are applying and the cost principles in 2 C.F.R. part 200 and 2 C.F.R. part 3187.

The Year 1 columns should include costs for activities that begin on the project start date (as listed on 6c of the SF-424S) and end 12 months later. If the project timeline exceeds one year, list the costs for the next 12 months in the Year 2 columns. If the project extends beyond two years, list the costs for the next 12 months in the Year 3 columns.

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by cost share, if any. In-kind contributions to cost share may include the value of services (e.g., donated volunteer or consultant time) or equipment donated to the project between the authorized start and end dates of your project. All the items listed, whether supported by grant funds or cost share, must be necessary to accomplish project objectives, allowable according to the applicable federal cost principles, auditable, and incurred during the award period of performance. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of your organization. You must report all revenues generated with project funds during the award period of performance as program income.

If you need more lines for a specific section, summarize the information in the IMLS Budget Form and explain it further in the Budget Justification.

1. **Salaries and Wages:** Include both temporary and permanent staff as well as volunteers engaged in project activities. Document the method of cost computation in your Budget Justification by including the base salary or wages for each person and the percentage of time each person is allocated to the project activities, which may be shown as a percentage of time, number or days, or number of hours.
2. **Fringe Benefits:** Fringe benefits can be claimed as a direct cost for only those positions included in your direct cost pool and only on the portion of salaries and wages identified for this project. Indicate your organization's fringe benefit rate (in percent) and the base (in dollars) to which the rate is applied (e.g., 20% x \$175,089.00).

3. **Travel:** Explain the method of cost computation for each travel cost, including subsistence, lodging, and transportation, in your Budget Justification.

You must use the lowest available commercial fares for coach or equivalent accommodations, and you must use U.S. flagged air carriers for foreign travel when such services are available, in accordance with applicable U.S. legal requirements.

Please refer to the Narrative section of this Notice of Funding Opportunity for information about special travel requirements, if any.

4. **Supplies, Materials, and Equipment:** List the costs of supplies, materials, and equipment purchased specifically for the proposed project. For definitions and other information, please see 2 C.F.R. part 200. Use the Budget Justification to explain or describe these items in further detail.
5. **Subawards and Contracts:** List each third party that will undertake project activities and their associated costs as an individual line item on your IMLS Budget Form. Designate each third party as either a subaward or a contract using the dropdown menu on each line.

To explain or describe these items in further detail, you may either:

- itemize these third-party costs in your Budget Justification or
- include a separate IMLS Budget Form as a Supporting Document and refer to it in the Budget Justification for more complex projects.

6. **Student Support:** If your project includes Student Support costs, enter them in this section. [Click here for a definition and examples of Student Support.](#)
7. **Other Costs:** Use this section for costs that cannot be assigned to other categories. Do not use this section to list items that do not fit in the lines allotted for another section.



- 8. Total Direct Costs:** These amounts will total automatically.
- 9. Indirect Costs:** Indirect costs are expenses that are incurred for common or joint objectives that cannot be easily identified with a particular project. Indicate your organization's indirect cost rate (in percent) and the base (in dollars) to which the rate is applied (e.g., 34% x \$123,456.78). [Click here for more information about indirect costs.](#)
- 10. Total Project Costs:** These amounts will total automatically.

## Cost Share in the Budget

Cost share is that portion of the project costs that is not paid by IMLS funds. Common examples of cost share include cash outlays; contribution of property and services; and in-kind contributions, such as staff or volunteer time that support project activities.

All expenses, including cost share, must be incurred during the award period of performance unless otherwise specified and allowed by law. Federal funds from other federal awards may not be used for cost share. All federal, IMLS, and program requirements regarding the use of funds apply to both requested IMLS funds and to cost share. See 2 C.F.R. §§ 200.1 and 200.306 for more information on cost share.

## Indirect Costs in the Budget

Indirect costs are expenses that are incurred for common or joint objectives and therefore cannot be readily identified with a particular project. Some examples include depreciation on buildings and equipment, the costs of operating and maintaining facilities, and general administration and general expenses, such as the salaries and expenses of executive officers, personnel administration, and accounting. See 2 C.F.R. part 200 for additional guidance.

### Options for Calculating and Including Indirect Costs in a Project Budget

You can choose to:

- use a rate not to exceed your current indirect cost rate already negotiated with a federal agency;
- use an indirect cost rate proposed to a federal agency for negotiation but not yet finalized, as long as it is finalized by the time of the award;
- use a rate not to exceed 10 percent of Modified Total Direct Costs (MTDC) if the organization currently does not have a federally negotiated indirect cost rate and is not subject to other requirements (e.g., for States and local governments); or
- not include any indirect costs.

### Using a Federally Negotiated Indirect Cost Rate

Federally negotiated indirect cost rates are negotiated agreements between federal agencies and non-federal entities. If your organization already has an existing negotiated indirect cost rate in effect, you may use this rate to calculate total project costs, as long as you apply the rate in accordance with the terms of the negotiated agreement and include a copy of the current negotiated agreement with your grant application. You may also choose to use a rate lower than your current federally negotiated indirect cost rate. We will only accept federally negotiated indirect cost rates that are current by the award date.

Please be aware that the indirect cost rate used in your approved IMLS budget (and that will also appear on the Official Award Notification if an award is made) will apply throughout the life of your

award. You may not use a different rate for the award, even if you negotiate a new rate with your cognizant agency.

### **Using a Proposed Indirect Cost Rate**

If your organization is in the process of negotiating an indirect cost rate with a federal agency, you may use the indirect cost rate that was proposed to the federal agency to estimate total project costs. In such situations, if we issue an award, we will accept the rate only if the negotiations are final by the award date and a copy of the final agreement is submitted to us. IMLS staff will work with you to adjust your budget prior to issuing an award.

### **Using the 10 Percent De Minimis Indirect Cost Rate**

Except for State and local government entities described in paragraph D.1.b. of Appendix VII to 2 C.F.R. part 200, you may choose to charge a de minimis rate of 10 percent of Modified Total Direct Costs (MTDC), as long as you do not have a current federally negotiated indirect cost rate and you meet the applicable requirements. See 2 C.F.R. part 200, including 2 C.F.R. §§ 200.1, 200.414(f), and 200.510(b)(6), for additional guidance.

Modified Total Direct Costs means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs. See 2 C.F.R. § 200.1 for additional information.

If you are using the 10 percent indirect cost rate, check the box indicated on the IMLS Budget Form. No additional documentation is required.

### **Applying an Indirect Cost Rate to the Cost Share Portion of a Budget**

You may, if consistent with 2 C.F.R. part 200 (Uniform Guidance), apply your indirect cost rate to your total direct costs covered by cost share, but any costs you claim as cost share must be accounted for in the cost share column on the IMLS Budget Form. IMLS funds can be used for indirect costs, but only for the portion of the total direct costs for which you are requesting IMLS funds (the Grant Funds column). (See, for example, 2 C.F.R. §§ 200.412-414.)

### **Restrictions on Project Costs Included in Indirect Cost Calculations**

If you have a federally negotiated indirect cost rate agreement, you must follow its conditions and requirements.

As noted above, if you do not have a current federally negotiated (including provisional) indirect cost rate and meet applicable requirements, you may elect to charge a de minimis rate of 10 percent of the Modified Total Direct Costs (MTDC) in your indirect cost calculations.

If you have a current federally negotiated indirect cost rate agreement of less than 10 percent, you must use it rather than the de minimis rate in your indirect cost calculations.

Please see the section above on the 10 percent rate as well as 2 C.F.R. § 200.414(f) and § 200.1.

## **Student Support Costs in the Budget**

**Students are understood to be:**

- Students enrolled in a community college, undergraduate, or graduate program of study



- Individuals participating in post-master's or post-doctoral programs that are focused on supporting their careers or professional development
- Library, archive, and museum staff participating in education and training activities focused on their careers or professional development

**Examples of Student Support include:**

- Tuition support for students participating in the project
- Salaries or stipends for graduate assistant work, so long as their work is focused on research and teaching activities (therefore contributing to their education)
- Pay and benefits for a resident or fellow to work in a position that is intended to support their learning outcomes or professional development
- Costs for travel and conference registration provided to support a student or participant's learning outcomes or professional development
- Costs of supplies and equipment provided to students to support a student's learning outcomes or professional development

**Activities not considered Student Support include:**

- Students employed in roles that are primarily administrative or clerical, doing work that is not primarily focused on their career or professional development. These costs should be listed in the Salaries and Wages section of the budget, and tuition paid on behalf of these students would not be considered Student Support.

(See 2 C.F.R. § 200.466 (Scholarships and student aid costs); see also 2 C.F.R. § 200.430 (Compensation – personal services).)

## Budget Justification

To write your Budget Justification, follow the format of the IMLS Budget Form's section headings and save it as a PDF. Address both grant funds and cost share, if included.

### 1. Salaries and Wages

Identify each person whose salary or wages will be paid with IMLS funds or by cost share, provide their names, and describe their role in the project. Document the method of cost computation by including the base salary or wages for each person and the percentage of time each person is allocated to the project activities, which may be shown as a percentage of time, number of days, or number of hours. If cost share is being provided by unpaid volunteers, explain how you arrived at the dollar amount used to represent the value of their services.

If you are requesting IMLS funding for salaries of permanent staff, explain the reason for the request and how the regular duties of these individuals will be performed during the award period of performance.

### 2. Fringe Benefits

Identify your organization's fringe benefit rate (in percent) and the base (in dollars) to which the rate is applied for each person. If you have consolidated several persons' fringe benefits into a single line on the IMLS Budget Form, break out the detail here.

### 3. Travel

For each trip, explain the purpose of the trip and specify the points of origin and destination, the name of the traveler, and break out the costs of transportation, lodging, per diem, and any other expenses associated with the travel. Explain how you arrived at these dollar amounts.

### 4. Supplies, Materials, and Equipment

List each type of supply, material, and equipment you propose to purchase or provide as cost share for the project. Detail the number and unit cost for each item and explain how you arrived at the dollar amounts. Provide vendor quotes or price lists as Supporting Documents with your application.

### 5. Subawards and Contracts

List the costs of project activities to be undertaken by third parties for the project. (Familiar terms for third parties can include partners, consultants, subgrantees, contractors, collaborators, vendors, and service providers.) Identify each third party by name, describe their role in the project, the activities they will carry out, and the cost. For each entry, designate the third party as either a subrecipient (who receives a subaward) or a contractor (who receives a contract). Explain costs for third parties and provide relevant Supporting Documents with your application. IMLS grant funds may generally not be provided to other U.S. government agencies.

You are responsible for making a case-by-case determination as to whether the agreement you make with a third party should be a subaward or a contract. That determination will depend upon the nature of your relationship with the third party with respect to the activities to be carried out. (See 2 C.F.R. § 200.331 (Subrecipient and contractor determinations).)

### 6. Student Support

Explain your method for calculating the costs listed in this section. [Click here for a definition and examples of Student Support.](#)

### 7. Other Costs

Use this section for costs that cannot be assigned to other categories.

### 8. Total Direct Costs

Indicate the total direct costs and specify how much you are asking from IMLS and how much you intend to provide as cost share, if any.

### 9. Indirect Costs

If you include indirect costs in your project budget, identify the indirect cost rate (in percent) and the base (in dollars) to which the rate is applied. [Click here for more information about indirect costs.](#)

### 10. Total Project Costs

Indicate the total project costs here and specify how much you are asking from IMLS and how much you intend to provide as cost share, if any.

## Proof of Private, Nonprofit Status

An organization applying as a private, nonprofit institution must submit a copy of the letter from the Internal Revenue Service indicating its eligibility for nonprofit status under the applicable provision of the Internal Revenue Code of 1954, as amended. (See 2 C.F.R. § 3187.7(b).) IMLS will not accept a letter of state sales tax exemption as proof of nonprofit status.

## Appendix Four – Guidance for Creating a Digital Products Plan

IMLS is committed to expanding public access to digital products that are created using federal funds. The digital products you create with IMLS funding require careful stewardship to protect and enhance their value, and they should be freely and readily available for use and re-use by libraries, archives, museums, and the public. IMLS also recognizes that technology is dynamic and does not want to inhibit innovation by prescribing set standards and practices that could become quickly outdated. Therefore, IMLS asks each applicant to create and submit a Digital Products Plan describing how they will address specific aspects of creating and managing digital products, employing practices and standards that are most appropriate for their specific project. Like all components of an IMLS application, your plan will be closely scrutinized by IMLS staff and by expert peer reviewers, and it will be important in determining whether your project will be funded. Organize your plan to address the following: Type, Availability, Access, and Sustainability.

IMLS participates in the Federal Agencies Digital Guidelines Initiative (FADGI), a collaborative effort by federal agencies to define common standards, guidelines, methods, and best practices for creating digital collections. The FADGI website includes a growing list of links to relevant standards, recommendations, and other resources. While this list is not exhaustive—nor does IMLS endorse any specific resource—applicants considering digital projects may find the information useful. [Click here to access the FADGI website.](#)

### Type

#### What digital products will you create?

Most projects are likely to generate digital content, resources, or assets. They may be digitized or born-digital products created by individuals, project teams, or through community gatherings. Examples include, but are not limited to, still images, audio files, moving images, microfilm, object inventories, object catalogs, artworks, books, posters, curricula, field books, maps, notebooks, scientific labels, metadata schema, charts, tables, drawings, workflows, teacher resources, and software, including source code, algorithms, applications, and digital tools, plus accompanying documentation.

In your Digital Products Plan, describe the digital content, resources, or assets you will create or collect, the quantities of each type, the digital file format(s), the accompanying metadata, and any relevant standards you will use. If you are developing software, you should also specify the programming languages, platforms, frameworks, software, or other applications you will use to create your software and explain why you chose them.

### Availability

#### How will you make your digital products openly available (as appropriate)?

IMLS encourages grant recipients to make works produced with IMLS support widely available, and to share their work products (including publications, datasets, educational resources, software, and digital content) whenever possible through free and open-access journals and repositories. Your project may involve making digital products available through public or access-controlled websites, kiosks, or live or recorded programs. IMLS expects applicants to ensure that publications produced under an award (including but not limited to peer-reviewed manuscripts resulting from research conducted under an award) are made available in a manner that permits the public to access, read, download, and analyze the work without charge.

In your Digital Products Plan, describe how you will make the digital content, resources, assets, software, and metadata available to the public. Include details such as the delivery strategy (e.g., openly available online, available to specified audiences) and underlying hardware/software platforms and infrastructure (e.g., specific digital repository software or leased services, accessibility via standard web browsers, requirements for special software tools to use the content, delivery enabled by IIIF specifications). Identify and explain the reasons for any limitations in your Digital Products Plan.

## Access

**What rights will you assert over your digital products, and what limitations, if any, will you place on their use? Will your products implicate privacy concerns or cultural sensitivities, and if so, how will you address them?**

Grant recipients may copyright any work that is subject to copyright and that was developed under an award or for which ownership was purchased. However, IMLS reserves, for Federal Government purposes, a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work.

IMLS expects applicants receiving federal funds for developing or creating digital products to release these files under open-source licenses to maximize access and promote reuse. All work products resulting from IMLS funding should be distributed for free or at cost unless IMLS has provided written approval for another arrangement.

In your Digital Products Plan, identify any licenses under which digital products will be shared (e.g., Creative Commons licenses, RightsStatements.org statements). Describe what intellectual property rights you will assert over your digital products and explain any limitations or conditions you will place on their use. If your products implicate privacy concerns or cultural sensitivities, describe these issues and how you plan to address them.

## Sustainability

**How will you address the sustainability of your digital products?**

To the maximum extent possible, the digital products created with IMLS funding should be freely and readily available for use and reuse by libraries, archives, museums, and the public. Some digital products that are generated during a project should be long-lived, requiring permanent preservation, and others (e.g., preliminary analyses, drafts of papers, plans for future work, peer-review assessments, most social media communications, and communications with colleagues) should be retained and shared in the medium- or short-term.

In your Digital Products Plan, describe your plan for preserving and maintaining digital products during and after the period of performance and identify the appropriate length of time different digital products should be curated. Address storage systems, shared repositories, technical documentation, migration planning, and commitment of organizational funding for these purposes.

**Note:** You may charge the federal award before closeout for the costs of publication or sharing of results if the costs are not incurred during the period of performance of the federal award (see 2 C.F.R. § 200.461).

## Appendix Five – Guidance for Research Applications

Please note that research and information collections are subject to applicable law, including but not limited to 45 C.F.R. part 46 (Protection of Human Subjects); see also the [IMLS Assurances and Certifications](#).

## Narrative

A research application should answer the following questions in the project Narrative.

### **What are your research questions, methods, and theoretical framing?**

List the question(s) that will drive your proposed activities. Research questions should be clear and concise to help reviewers understand what you wish to learn.

Detail the methods you will use to collect and analyze data. Say why they are the most appropriate for addressing the question(s) at hand. Your methods must be replicable and based on current practices.

What are the concepts, assumptions, expectations, beliefs, and/or theories that support and inform your research and guide your approach to data collection and analysis? If you are proposing to conduct research that will build theory, explain why.

### **What is the relevance of your proposed research for current practice?**

Discuss how your proposed work builds on existing projects or efforts, including those funded by IMLS. Provide information about how your research can lead to improved museum or library practice and demonstrate you are familiar with current scholarship, including empirical work, in your area of interest.

### **What type of data will you gather for your research (separate from that identified in your Performance Measurement Plan)?**

Describe the type of data you will collect and any measures you will take to ensure its validity and reliability. Detail the methods for collecting information along with any potential privacy or human subjects concerns that may arise. List potential challenges in gathering data and explain how you will address them. As noted above, research and information collection are subject to applicable law, including but not limited to privacy requirements and 45 C.F.R. part 46 (Protection of Human Subjects), see also the [IMLS Assurances and Certifications](#).

### **How will you collect, analyze, and use the data?**

Describe how you will analyze the results of your research and relate them to your research questions. If applicable, outline an analysis plan that links a set of testable hypotheses to the proposed research question(s). Identify the variables of interest that are key to the investigation and explain how you will deal with alternative explanations for the observed phenomena.

### **Does your study require Institutional Review Board (IRB) approval? If so, what steps have you taken to secure IRB approval?**

Describe your plan for the IRB approval process. If IRB approval is required, it is not necessary that you secure approval before submitting your application, but you must receive approval prior to initiating your study.

### **How will you report and disseminate your findings?**

Address how you will communicate the results to a variety of target groups with different levels of expertise, especially practitioners.

## Data Management Plan

Data sharing is an essential component of research and expedites the translation of research results into new knowledge and practices. Applications for projects that involve the collection and analysis

of data must include a Data Management Plan that provides for long-term preservation of and access to the project research data.

IMLS expects awardees to deposit data resulting from IMLS-funded research in a broadly accessible repository that allows the public to use the data without charge no later than the date upon which an awardee submits the final performance report to IMLS. The data should be deposited in a machine-readable, non-proprietary digital format to maximize search, retrieval, and analysis.

Project budgets may include the costs of preparing the data for public release and for making the data publicly available. In their final performance reports, awardees are required to identify where the data has been deposited and can be accessed by the public.

IMLS recognizes that in some cases data sharing may be complicated or limited by institutional policies; local Institutional Review Board (IRB) rules; and local, state, and federal laws and regulations, including those protecting confidentiality and personal privacy. The rights and privacy of people who participate in IMLS-supported research must be protected at all times. Thus, data intended for broader use should be free of anything that could lead to disclosure of the identity of individual participants. Each applicant should identify and explain the reasons for any limitations in their Data Management Plan.

**Explain how you will manage, share, preserve, document, and enable reuse of the data you will collect or generate during the project by addressing the following.**

- Identify the type(s) and estimated amount of data you plan to collect or generate, and the purpose or intended use(s) to which you expect them to be put. Describe the method(s) you will use, the proposed scope and scale, and the approximate dates or intervals at which you will collect or generate data.
- Will you collect any sensitive information? This may include personally identifiable information (PII), confidential information (e.g., trade secrets), or proprietary information. If so, detail the specific steps you will take to protect the information while you prepare it for public release (e.g., anonymizing individual identifiers, data aggregation). If the data will not be released publicly, explain why the data cannot be shared due to the protection of privacy, confidentiality, security, intellectual property, and other rights or requirements.
- What technical (hardware and/or software) requirements or dependencies would be necessary for understanding retrieving, displaying, processing, or otherwise reusing the data? How can these tools be accessed (e.g., open-source and freely available, commercially available, available from your research team)?
- What documentation (e.g., consent agreements, data documentation, codebooks, metadata, and analytical and procedural information) will you capture or create along with the data? Where will the documentation be stored and in what format(s)? How will you permanently associate and manage the documentation with the data it describes to enable future reuse?
- What is your plan for managing, disseminating, and preserving data after the completion of the award-funded project? If relevant, identify the repository where you will deposit your data. When and for how long will data be made available to other users?
- When and how frequently will you review your Data Management Plan? How will the implementation be monitored?

A valid Data Management Plan may include only the statement that no detailed plan is needed if the statement is accompanied by a clear justification.



**Note:** For the purposes of this section, “data” is defined consistent with OMB guidance (see 2 C.F.R. § 200.315). IMLS reserves a royalty-free, nonexclusive, and irrevocable right to: (1) obtain, reproduce, publish, or otherwise use the data first produced under a grant; and (2) authorize others to receive, reproduce, publish, or otherwise use such data for federal purposes.

## Appendix Six – Conflict of Interest Requirements

As a non-federal entity, you must follow IMLS conflict of interest policies for federal awards. You must disclose in writing any potential conflict of interest to an IMLS Program Officer, or to the pass-through entity if you are a subrecipient or contractor. This disclosure must take place immediately whether you are an applicant or have an active IMLS award.

The IMLS conflict of interest policies apply to subawards as well as contracts, and are as follows:

- As a non-federal entity, you must maintain written standards of conduct covering conflicts of interest and governing the performance of your employees engaged in the selection, award, and administration of subawards and contracts.
- None of your employees may participate in the selection, award, or administration of a subaward or contract supported by a federal award if he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from an organization considered for a subaward or contract. The officers, employees, and agents of the non-federal entity must neither solicit nor accept gratuities, favors, or anything of monetary value from subrecipients or contractors or parties to subawards or contracts.
- If you have a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian tribe, you must also maintain written standards of conduct covering organizational conflicts of interest. Organizational conflicts of interest means that because of relationships with a parent company, affiliate, or subsidiary organization, you are unable or appear to be unable to be impartial in conducting a subaward or procurement action involving a related organization.

## Appendix Seven – Keywords

In the Abstract block of the IMLS Supplementary Information Form, we ask you to list from one to eight keywords that best characterize your project. Choose from the options that appear alphabetically below. Please separate your keywords with commas. IMLS may use these keywords as search terms in its compilations describing the agency's grantmaking and/or provide them as tools to help applicants, other awardees, and the public understand more about what IMLS supports. Please make sure to select no more than eight.

<p><b>A-B-C</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Accessibility / Universal Design / Inclusive Design</li> <li><input type="checkbox"/> Archives Practice / Management / Use</li> <li><input type="checkbox"/> Artificial Intelligence / Machine Learning</li> <li><input type="checkbox"/> Broadband Access</li> <li><input type="checkbox"/> Civic Engagement</li> <li><input type="checkbox"/> Civic Technology</li> <li><input type="checkbox"/> Collections Care / Conservation / Preservation</li> <li><input type="checkbox"/> Collections Management</li> <li><input type="checkbox"/> Community Engagement</li> <li><input type="checkbox"/> Community Memory / Community History</li> <li><input type="checkbox"/> Community Science</li> <li><input type="checkbox"/> Crowdsourcing</li> </ul> <p><b>D-E-F-G</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Data Privacy / Security</li> <li><input type="checkbox"/> Data Science / Computational Analysis</li> <li><input type="checkbox"/> Digital Asset Management</li> <li><input type="checkbox"/> Digital Preservation / Curation</li> <li><input type="checkbox"/> Diversity, Equity, Inclusion, and Accessibility</li> <li><input type="checkbox"/> Early Learning</li> <li><input type="checkbox"/> Emergency / Disaster / Crisis Preparedness and Response</li> <li><input type="checkbox"/> Environmental Education</li> <li><input type="checkbox"/> Family Learning</li> <li><input type="checkbox"/> Fellowship / Internship / Mentorship Programs</li> <li><input type="checkbox"/> Gaming</li> </ul> <p><b>H-I-J-K-L</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Institutional Capacity Building</li> <li><input type="checkbox"/> Language Preservation / Cultural Revitalization</li> <li><input type="checkbox"/> Literacy: Civic</li> <li><input type="checkbox"/> Literacy: Digital</li> <li><input type="checkbox"/> Literacy: Financial</li> <li><input type="checkbox"/> Literacy: Health and Wellness</li> <li><input type="checkbox"/> Literacy: Information</li> </ul> <p><b>M-N-O</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Museum and Library Partnerships</li> <li><input type="checkbox"/> Museum Education Technology</li> <li><input type="checkbox"/> Museum Exhibitions</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Museum Interpretation</li> <li><input type="checkbox"/> Museum Multilingual Programs / Resources</li> <li><input type="checkbox"/> Museum Program Evaluations</li> <li><input type="checkbox"/> Museum Visitor Services</li> <li><input type="checkbox"/> Museum /Archives / Library Staff Professional Development / Training</li> <li><input type="checkbox"/> Open Educational Resources</li> <li><input type="checkbox"/> Oral History</li> </ul> <p><b>P-Q-R-S</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Pre-K-12 Out of School / Summer Programs</li> <li><input type="checkbox"/> Pre-K-12 School Programs</li> <li><input type="checkbox"/> Public Programs</li> <li><input type="checkbox"/> Scholarly Communications</li> <li><input type="checkbox"/> School Libraries / Librarianship</li> <li><input type="checkbox"/> Services and Programs for Adults</li> <li><input type="checkbox"/> Services for Children and Families</li> <li><input type="checkbox"/> Services for College Students</li> <li><input type="checkbox"/> Services for Emerging Adults</li> <li><input type="checkbox"/> Services for English-Language Learners</li> <li><input type="checkbox"/> Services for Immigrants / Refugees</li> <li><input type="checkbox"/> Services for Incarcerated Individuals / Returning Citizens</li> <li><input type="checkbox"/> Services for Individuals who are Neurodivergent</li> <li><input type="checkbox"/> Services for Individuals with Disabilities</li> <li><input type="checkbox"/> Services for LGBTQIA+</li> <li><input type="checkbox"/> Services for Older Adults</li> <li><input type="checkbox"/> Services for Rural Communities</li> <li><input type="checkbox"/> Services for Those below the Poverty Line or Unstably Housed</li> <li><input type="checkbox"/> Services for Tribal Communities</li> <li><input type="checkbox"/> Services for Urban Communities</li> <li><input type="checkbox"/> Services for Veterans / Active-Duty Military</li> <li><input type="checkbox"/> Services for Teens</li> <li><input type="checkbox"/> Shared Infrastructures / Open-Source Software</li> <li><input type="checkbox"/> STEM / STEAM Programming</li> <li><input type="checkbox"/> Summer Services</li> </ul> <p><b>T-U-V-W-X-Y-Z</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Teacher / Educator Professional Development</li> <li><input type="checkbox"/> Web Archiving</li> <li><input type="checkbox"/> Website Creation / Enhancement</li> <li><input type="checkbox"/> Workforce Development</li> </ul>
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**For:** Library Board

**Date:** August 11, 2022

**Subject:** SWOT Analysis of Finance Issues for Preliminary Budget Planning FY 2023

**Submitted:** Abby Armour

**Purpose:** This document helps list and group the numerous events and issues that will impact the Library's budget in FY 2023. It is meant to guide discussion and help the Library see all the issues at hand easily and is not meant to be a recommendation or even an exhaustive list. The Finance Committee reviewed this list on July 25, 2022, and wanted to bring it to the full Library Board for consideration before planning next year's budget.

### **Strengths**

- We budget for programming (some libraries don't have it in their budget and they rely on their Friends group or donations)
- Large book budget (\$70,000 = approximately 7,000 books at wholesale prices...but do we have the shelf space...?)
- Director is multi-talented; not only understands all parts of the Library but can also do everyone's jobs; has worked under very tight budgets
- Engaged and passionate staff who truly care about the community and are proud of their work

### **Weaknesses**

- Not enough manhours for circulation to get their core duties done
- Director salary is lowest among all comparable libraries in the state (2021 salary data)
- No clear structure for advancement through pay scale or philosophy statement regarding advancement and compensation (How much % raise for "meets expectations" versus "exceeds expectations"? Should bonuses be budgeted for or only given if we have money left over? Should staff make more if they have people who report to them? Is tenure rewarded in hourly wage? What if you have an MLIS in a non-required position? Does completing professional development impact salary? Is there compensation for cross-training and absorbing other duties?)
- No teen/tween librarian despite engaging teens being a goal of the strategic plan (only one person in all of youth services – quality collection development alone for ages 0 through 18 takes a lot of time)
- No assistant director
- No capital plan
- Library is not on Village's capital plan
- No clear succession planning for Mary Jo's retirement (the only other cataloger is the Director...) – how does Library Board want to structure/restructure the hierarchy and begin training/crosstraining ahead of time \*before\* Mary Jo leaves (i.e. will Jane and Chris get a pay raise for taking on cataloging duties? Do we think we simply want to replace Mary Jo's position, or do we take the opportunity to examine the whole staffing model, job descriptions, and pay?)

- There's 1.5 FTE in the MetaSpace, but .5 is allocated to minors under age 18, so we are limited in the services and programs we can provide

### **Opportunities**

- Mary Jo's retirement is coming up, possibly sometime in 2023
- Cathryn's retirement is coming up, possibly sometime in 2024
- Removing Innovator in Residence Interns from the budget and instead have the position(s) sponsored by a local company
- IMLS National Leadership Grant
- Waukesha county added digital circulation into county reimbursement formula – FY 2023 reimbursement will include Overdrive circulation from 2021
- Digital circulation is rapidly growing – shift physical item costs to digital
- Village changing phone plan – examine costs
- Examining open hours – data shows very few people come in after 7:00pm anymore and we will be getting smartlockers for after-hours holds pickup
- Examining use of technology to offload routine tasks in circulation and free up personnel for more complex tasks like high quality customer service

### **Threats**

- Tri-Troy
- Walworth County reimbursement formula change to only 70% reimbursement of cost per circulation
- Most libraries around us are fine free (at least for children's materials)
- Inflation
- Extremely competitive job market with salaries "reset" at higher, post-pandemic wages (and our employee's wages haven't kept up)
- Burnout and staff leaving for higher wages, more flexibility, or less duties

**For:** Library Board

**Date:** August 11, 2022

**Subject:** Preliminary Budget Numbers

**Submitted:** Abby Armour

**Purpose:** This document provides notes on preliminary costs and budget expectations for FY 2023. Notes are included to explain anomalies or missing information.

## **REVENUES**

<b>Revenue Source</b>	<b>FY 2022</b>	<b>Preliminary FY 2023</b>	<b>Notes</b>
411100 - General Property Taxes	474,105	483,587	Calculating typical 2% increase
434300 - County Grant (Hoopla from Bridges)	3,398	2,732	Calculated based on service population; Bridges pays about 50% of cost with the grant, MCL covers the rest
436500 - County Taxes (WK)	443,227	486,624	Increase of \$43,397 due to digital circ added into formula for 2023
436600 - County Taxes (LK)	121,147	77,976 *20,799	Loss of \$43,171 due to Walworth county opting to do state minimum reimbursement of 70% instead of state avg used in previous year's Lakeshores contract; *IF Tri-Troy is approved and IF Walworth refuses reimbursement in 2023 for 2021 services, this number will be \$20,799 which includes any remaining Walworth TNR and all of Racine county (still under Lakeshores contract)
436800 - County Taxes (other)	1,712	2,479	\$2,348 Jefferson county \$131 Washington county
430700 – COPIES & FAXES	5,500	5,500	Guessing same number as 2022
430800 - LIBRARY MATERIAL REPLACEMENT	1,000	1,000	Guessing same number as 2022
431700 - BOOK SALE REVENUE	3,500	3,500	Guessing same number as 2022
431200 - FINES	13,000	13,000	Guessing same number as 2022
487100 - INTEREST REVENUE	500	500	Guessing same number as 2022
	\$1,067,089	<b>\$1,076,898</b> *1,019,721	Increase of 1% over FY2022 *without Tri-Troy reimbursement: a decrease of 4.5% over 2022)

WCCF Capital Endowment	\$ 679,345.99	
WCCF Library Endowment	\$ 302,830.05	
General Fund balance	\$171,034	Ideal is 25-30% of operating costs (this is approximately 16%)
OPEB Payout	\$50,192	For post-retirement; need roughly \$25,000 apiece pre-funded for upcoming 3 retirements
Donations	\$50,399	Some of this was WCCF Capital funds transferred that were never spent (Cathryn's best guess is about \$8,000 is left)

#### **EXPENDITURES of NOTE**

<b>Expense Source</b>	<b>FY 2022</b>	<b>Preliminary FY 2023</b>	<b>Notes</b>
Bridges Charges	36,485	38,435	Cost increase \$1,950 (5%)
Salaries & Wages	559,332	570,519	Guessing 2% increase (\$11,187) – as of July 2022, CPI is 7.48% (which would be an increase of \$41,838)
Health Insurance	64,788	68,028	Same number/type of policies as 2022; guessing increase in premiums of 5% (\$3,240) but won't know final numbers until mid-Sept.
Insurance Premiums	8,000	5,000	\$200 increase for Fine Arts rider; we've been getting huge paybacks for the village's low, low rate
Telephone	9,000	?	Still waiting for numbers from Village on switchover; unsure when the new contract pricing kicks in and when we would end the first year half-price deal and begin paying full price

# Managing the Library's Money

# 9

The library board has ultimate responsibility for all aspects of library financial management—from budgeting to spending to financial reporting. Your community will be much more willing to provide the resources necessary for high-quality library service when they know library finances are carefully controlled and monitored.

The board controls and monitors library finances by:

- Careful development and approval of the budget (see [Trustee Essential #8: Developing the Library Budget](#)).
- Review and approval of all library expenditures.
- Review and monitoring of monthly financial statements.
- Development of policies for the handling of gifts and donations.
- Accurate financial reporting.
- Careful attention to financial audits.

## Approval of Library Expenditures

Wisconsin Statutes give the library board exclusive control of the expenditure of all moneys collected, donated, or appropriated for the library fund. The board exercises this control through the approval of the budget, the establishment of financial policies, and the audit and approval of vouchers for all library expenditures.

Basic library financial procedures are as follows:

1. The library board approves the annual budget and any budget adjustments necessary during the year. (See [Trustee Essential #8: Developing the Library Budget](#).)
2. The library director is delegated authority to make purchases within the budget and according to board-approved purchasing policies.
3. The library director is responsible for preparing vouchers for all expenditures, a monthly list of all library expenditures, and a monthly financial statement.
4. At the monthly board meeting, the library board audits and approves payment of the expenditures, and reviews and approves the financial statement.
5. The board secretary, or other designee of the board, signs the vouchers and they are forwarded to the municipal clerk for payment.

### In This Trustee Essential

- Responsibilities for library expenditures
- Responsibilities for library financial health and financial reporting
- Options for proper handling of gifts and donations

6. Expenditures approved by the board for payment out of any library-held trust/gift fund accounts are made by the board treasurer or other designee of the board. It is recommended that board policy or bylaws require two signatures (one being the board treasurer or president) for any payment or withdrawal out of a library-held account.

## Financial Statements

To facilitate the board's monitoring of library finances, the director should present financial statements that the library board and the general public can understand. The library director should provide monthly financial reports that include:

- Last month and year-to-date expenditures for each line item
- Total income and expenditures last month and year-to-date
- Budget balances for each line item and the total budget

To oversee the finances adequately, the board should study financial statements carefully, ask questions, and be sure that they understand any unexpected or unusual expenditures or budget developments.

## Gifts and Donations

Library boards may deposit gift, bequest, devise, and endowment funds in a savings or checking account held by the library. However, all other library income, including fines and fees, must be deposited with the municipality.

Wisconsin library law provides that library boards have exclusive *control* of all funds collected, donated, or appropriated for the library fund; however, library boards have the legal authority to maintain *custody* of only gift, bequest, devise, and endowment funds. Expenditures of funds held by the municipality for library purposes are made as approved by the library board, with actual disbursements made by the municipal treasurer.

Wisconsin Statutes Section 43.58 (7) provides five alternatives for the handling of a gift, bequest, devise, or endowment provided to the library. Before making such transfers, library boards should be careful to consider any special provisions of the original gifts, bequests, or endowments. As with other transfers and deposits, the library board retains control of these funds.

1. The library board may pay or transfer the gift, bequest, or endowment, or its proceeds to the treasurer of the municipality or county in which the library is situated.
2. The library board may deposit the gift, bequest, or endowment to a public depository under Chapter 34 (a bank, credit union or savings and loan in Wisconsin, or the Local Government Investment Pool).
3. The library board may transfer the gift, bequest, or endowment to a charitable organization, described in section 501 (c) (3) of the Internal Revenue Code and exempt from federal income tax under section 501 (a) of the Internal Revenue Code.

4. The library board may instruct the board's financial secretary to invest the gift funds as permitted under Section 112.10. A financial secretary must be bonded for at least the value of the funds or property held. The financial secretary must also make at least annual reports to the library board showing in detail the amount, investment, income and disbursements from any funds held. This report must also be attached to the annual report provided to the municipality and the Division for Libraries and Technology.
5. The library board may pay or transfer the gift bequest, or endowment to a charitable organization or to a community foundation only if the library board and the charitable organization or the community foundation agree, in writing and at the time of the payment or transfer of the gift, bequest, or endowment, to the conditions outlined in the Statutes [s. 43.58 (7) (3)].

For any funds in library custody, it is important that a library adopt policies for financial practices and controls that meet municipal audit requirements. For example, library board policy should require two signatures for any payment or withdrawal out of a library-held account. Libraries holding substantial funds should have an investment policy approved by the library board.

## Annual Report

The library board is responsible for approving the state-required annual report and providing a copy to the library system, the DLT, and to the governing municipality. The library director prepares this report, but it is the library board's responsibility to ensure that the report is accurate and complete. It must show all library income by source and all expenditures in detail, as well as the status of all funds under library board control. Instructions and forms for the annual report are available at <http://dpi.wi.gov/pld/data-reports/annual-report>. A [\*Sample Trust/Gift Fund Report\*](#) is attached.

## Audit

In most communities, public library financial records should be audited along with all other records maintained by the municipality or county that serves as the library's fiscal agent. Funds controlled directly by the library board, such as gift funds or endowments, should be audited annually by the municipality, the county, or an outside auditor. If your municipality does not audit your library's financial records, you may want to ask that they do so, or you may budget for an outside auditor to conduct an annual audit. Municipal and library audits are public records and must be publicly available. The library board should examine audit reports and carefully follow any audit recommendations.

## Discussion Questions

1. Why is careful control and monitoring of library expenditures important?
2. What should a library board member do if he/she doesn't understand part of the financial statement or doesn't know the purpose of a particular expenditure?
3. What can your library board do if your library has a large unexpected expenditure—for example, if the air conditioning unit fails and needs to be replaced immediately?

## Sources of Additional Information

- [\*Sample Trust/Gift Fund Report\*](#)
- Your library system staff (See [\*Trustee Tool B: Library System Map and Contact Information.\*](#))
- Division for Libraries and Technology staff (See [\*Trustee Tool C: Division for Libraries and Technology Contact Information.\*](#))

*Trustee Essentials: A Handbook for Wisconsin Public Library Trustees* was prepared by the DLT with the assistance of the Trustee Handbook Revision Task Force.

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## Sample Library Trust / Gift Fund Report

Note: A public library may maintain custody of gifts, donations, bequests, devises, or endowments. (See *Trustee Essential #9* for details.) The library's annual report must show the amount and investment of and income and disbursements from any funds under library board control, including transfers to foundations.

Date		1-Jan Beginning Balance	Deposits (New Donations)	Interest Earned	Expenditures	Balance
	<b>Anytown Natl. Bank</b>					
	<b>CD #123456</b>					
1-Jan		\$ 5,000				\$ 5,000
30-Dec				\$ 300		\$ 5,300
	<b>Village Donation Account</b>	\$ 800	\$ 1,450		\$ (1,200)	\$ 1,050
	<b>Donations Trans- ferred to Community Foundation</b>	\$ 3,700	\$ 1,200			\$ 4,900
	<b>Anytown Natl. Bank</b>					
	<b>checking acct. #123456</b>					
1-Jan		\$ 1,000				\$ 1,000
28-Feb	Ms. Smith donation		\$ 800			\$ 1,800
10-May	Mr. Brown donation		\$ 300			\$ 2,100
30-May	transfer to operating budget				\$ (500)	\$ 1,600
4-Jun	purchase of DVDs				\$ (300)	\$ 1,300
15-Jul	purchase of puppets				\$ (100)	\$ 1,200
20-Oct	purchase of chair				\$ (100)	\$ 1,100
<b>Yearly total for all accounts</b>		<b>\$ 10,500</b>	<b>\$ 3,750</b>	<b>\$ 300</b>	<b>\$ (2,200)</b>	<b>\$ 12,350</b>