

**LSTA GRANTS
2011-2012**

GENERAL INFORMATION & PROVISIONS

1. What is the basis for selecting projects for funding?

In addition to the criteria and priorities listed in the Program-Specific Information & Guidelines for each LSTA grant program, the following criteria also apply:

I. Ability to Pay and Local Effort

In awarding LSTA grants to North Carolina libraries, two additional factors will serve as measures of institutional need if all other factors are equal in the review of a group of grant proposals. They are:

- **Ability to pay:** The relative resources available to fund library services from local government or within an academic institution—that is, the per capita local tax base or the per FTE institutional resources will be used as a measure of ability to pay for services locally, and
- **Local effort:** The relative local effort in supporting library services—that is, per capita support of a public library or, for academic libraries, the library operating expenditures as a percentage of the Educational and General Expenditures for the academic institution, or, for a school library, the per capita support or the library operating expenditures as a percentage of the general expenditure for the school.

The data used by State Library staff and reviewers to determine ability to pay and local effort is updated annually. Data for the current year is available at <http://statelibrary.ncdcr.gov/lsta/financialfactors1112.htm>.

II. Applicant's LSTA Grant History

Two other issues may be taken into consideration in selecting applications for funding:

- the quality and effectiveness of the applicant's management of prior LSTA grants, and
- if requests exceed available funds, the number and type of grants that a library has received over the life of LSTA and their total dollar value. This will help ensure that more libraries have the opportunity to benefit from LSTA grant funds.

2. Do you need a planning grant?

A library may determine that additional planning is needed before they are ready to apply for a grant. If so, a preliminary step may be to apply for an LSTA Planning Grant. A Planning Grant, which has no matching requirement, provides some funds to assist with costs of planning activities. A Planning Grant can be used for the following:

- general and community-based planning for programs and services for library users, including community needs assessments and building collaborative partnerships between libraries and with other entities;
- planning for the use of existing space in conjunction with providing or expanding services to library users;
- analysis of processes or workflows for improvement of services to library users;
- developing a comprehensive technology plan;
- planning for a new or upgraded integrated automated library system, including development of an RFP;
- assessing archival and special collections and creating plans for digitizing them; and
- other planning necessary to prepare an application for a specific LSTA Project Grant (Library Outreach Services, NC ECHO Digitization, or Technology).

The State Library offers two opportunities each year to apply for a Planning Grant: in the regular cycle and the mid-year cycle. A **mid-year 2010-2011 Planning Grant** (application **due November 2, 2010**) would allow a library to complete the half year grant (January through July 2011) and subsequent planning activities in time to file a Letter of Intent (LOI) in November 2011 for a 2012-2013 Project Grant. If the Letter of Intent is successful, the library may submit a full application in February 2012 for a project that would begin in July 2012. Information (guidelines and applications) for mid-year planning grants can be found under “2010-2011 LSTA Grant Programs” at: <http://statelibrary.ncdcr.gov/lsta/2010-2011Grants.htm>.

A library applying and funded for a Planning Grant in the **2011-2012 regular cycle** (application **due February 17, 2011**) would have an allowable planning period of one year, beginning July 2011. With a regular cycle planning grant a library could potentially meet the November 2011 LOI deadline for a 2012-2013 Project grant, however the planning time is likely to be more compressed. A library must consider its own circumstances and capabilities to determine the most appropriate course of action.

A library may not receive a planning grant and the Project grant for which they planned, in the same grant year.

3. What is the application and review process?

For Project grant programs (i.e., programs REQUIRING a Letter of Intent):

Project grant programs for 2011-2012 include: Library Outreach Services; NC ECHO Digitization; and Technology.

The grant process for Project grant programs has two steps aimed at saving time and other resources for libraries that are interested in applying for some of the more complex grant programs. It allows the library to determine whether its project concept is eligible and/or competitive.

- Step #1: Letter of Intent: A library interested in applying for a Project grant must submit by November 2, 2010, a Letter of Intent (LOI) explaining the proposed project. (The Letter of Intent is a brief application form found at <http://statelibrary.ncdcr.gov/lsta/2011-2012Grants.htm>) The LOI will be used to determine whether the library is proposing a project that meets the criteria of the grant program. State Library staff, in some cases peer reviewers, and the LSTA Advisory Committee review the Letters of Intent and the LSTA Advisory Committee recommends which libraries are authorized to submit a full application. Libraries will be notified of authorization by December 16, 2010.

For multiyear projects, the Letter of Intent must identify the intention to apply as a multiyear grant. The LOI must also identify activities that will occur over the life of the project and estimate a budget for the entire project.

- Step #2: Full Grant Application: Those libraries that receive authorization are invited to submit a full application with a project plan and budget. Full applications are due February 17, 2011.

For multiyear projects, the full application must include an action plan and timeline for all proposed years, including milestones or checkpoints to demonstrate progress for the full project; an estimated budget for all the years of the project; and, as appropriate, a plan for sustainability.

- To be eligible for review, full grant applications must be received in the State Library's Library Development Section Office (Room 310A, Archives & State Library Building) by 5:00 p.m., February 17, 2011.
- Only **complete** applications from eligible institutions (those authorized to submit a full application) will be reviewed.
- Eligible applications will be reviewed and evaluated by State Library staff and outside peer reviewers, according to the grant program criteria. The LSTA Advisory Committee will consider the applications in conjunction with reviewer evaluations and make recommendations to the State Librarian regarding funding.
- Since the LSTA Advisory Committee reviews all LSTA Project grants and makes funding recommendations, no appeal is available.
- Announcement of funded applications will be posted to the State Library's LSTA web site (<http://statelibrary.ncdcr.gov/lsta/lsta.htm>) by the June award announcement date.
- No project funds (grant or matching dollars) may be encumbered or expended until library representatives and the State Librarian sign the grant agreement.

For EZ grant programs (i.e., programs NOT requiring a Letter of Intent):

EZ grant programs for 2011-2012 include: Basic Equipment; Planning; School Library Collection Development; Strengthening Public and Academic Library Collections.

- To be eligible for review, grant applications must be received in the State Library's Library Development Section Office (Room 310A, Archives & State Library Building) by 5:00 p.m., February 17, 2011.
- Only **complete** applications from eligible institutions will be reviewed.
- Eligible applications will be reviewed and evaluated by State Library staff according to the grant program criteria. State Library Senior Management will make final funding decisions.
- Procedures for EZ grants allow for appeals of funding decisions. Awards are not final until the appeals process is completed.
- Announcement of funded applications will be posted to the State Library's LSTA web site (<http://statelibrary.ncdcr.gov/lsta/lsta.htm>) by the June award announcement date.
- No project funds (grant or matching dollars) may be encumbered or expended until library representatives and the State Librarian sign the grant agreement.

4. How are grant payments made?

Grant funds are paid on a reimbursement basis. Libraries pay project expenses using local funds, and are then reimbursed for *actual* documented expenses up to the grant amount awarded.

- **For regular cycle 2011-2012 grants, June 30, 2012, is the date by which all project funds (grant and matching) must be spent.**

- Grant payments will only be made for expenses incurred after a library is awarded a grant and library representatives and the State Librarian have signed the grant agreement.
- Grantees must submit requests for reimbursement once a quarter, at a minimum. Regular reimbursements ensure an even flow of grant payments.
- By the postmark date of April 15, 2012, a minimum of seventy-five percent (75%) of the grant amount must be requested for reimbursement. Requests received by this date will be paid by June 30, 2012.
- **July 15, 2012, is the final postmark deadline** for submitting grant reimbursement requests. The State Library will complete all payments by August 31, 2012.

5. What reports must grantees make?

As part of the evaluation process for LSTA grant programs, all grant recipients must complete a report on their grant-funded project. It will be due to the State Library by September 30, 2012. The report will include a summary of grant expenditures, review of the project's accomplishments and descriptions of outcomes/benefits for users. The State Library will provide a form for the grant report. To help you develop your plan for evaluation and reporting, please review the type of report you will have to provide. The 2009-2010 online report form may be found at <http://statelibrary.ncdcr.gov/lsta/report0910.htm> .

Non-profit / non-governmental grantees must comply with the requirements of North Carolina General Statute 143C-6-23 "State grant funds: administration; oversight and reporting requirements," and the corresponding rules for enforcing it, which are found in the North Carolina Administrative Code, Title 09, Chapter 03M, "Uniform Administration of State Grants," including submission of required reports within six months (or nine months for \$500,000 threshold) of the end of the Library's fiscal year(s) in which grant funds are received.

Responsibility for grant reporting requirements under G.S. 143C-6-23 was transferred from the Office of the State Auditor to the North Carolina Office of State Budget and Management (OSBM) effective August 31, 2009. For information and online reporting access, see OSBM's new website at <http://www.ncgrants.gov>.

6. What do I need to know about CIPA?

The following libraries that submit an application for funding to the State Library must include as part of the application package the Children's Internet Protection Act (CIPA) *Internet Safety Certification* form:

- public libraries,
- public school libraries (K-12), and
- libraries submitting an application on behalf of a consortia that includes public and/or public school libraries.

Additional information on CIPA, with guidelines and required form, is available at <http://statelibrary.ncdcr.gov/lsta/cipa.htm>.

7. What else do applicants need to know?

Because these LSTA grants are from federal funds administered through a state agency, all grantees must adhere to required federal and state provisions. (See **Grant Provisions**, page 8 of this document.) Please read these carefully.

8. Grant program timeline:

For Project grant programs (i.e., programs REQUIRING a Letter of Intent)

Programs include: Library Outreach Services; NC ECHO Digitization; Technology.

The following deadlines apply to 2011-2012 Project grants. Some dates are also included for 2010-2011 Mid-year Planning Grants.

| | |
|------------------------------|--|
| November 2, 2010 | <ul style="list-style-type: none"> • Letters of Intent for 2011-2012 Project grants due by 5:00 p.m. * • Mid-year 2010-2011 Planning Grant applications due by 5:00 p.m. * <p>Find guidelines and applications at http://statelibrary.ncdcr.gov/lsta/lsta.htm</p> |
| December 16, 2010 | <ul style="list-style-type: none"> • Approved Letters of Intent notified; full application forms available • Announcement of funded Mid-year 2010-2011 EZ Planning Grants |
| February 17, 2011 | Full applications due by 5:00 p.m. * |
| June 14, 2011 | Announcement of funded projects at http://statelibrary.ncdcr.gov/lsta/lsta.htm |
| July 2011 – June 30, 2012 | Grant project implementation and expenditure period for 2011-2012 projects |
| October 15, 2011 | Postmark deadline for first grant reimbursement request |
| January 15, 2012 | Postmark deadline for second grant reimbursement request |
| April 15, 2012 | Postmark deadline for third reimbursement request; a minimum of 75% of grant amount must be requested by this deadline |
| June 30, 2012 | Date by which all project funds must be spent |
| July 15, 2012 | Final postmark deadline to submit grant reimbursement request |
| August 31, 2012 | State Library completes grant payments |
| September 30, 2012 | Final report due to State Library |

* Must be **received** in the State Library's Library Development Section Office, Room 310A, Archives & State Library Building.

For EZ grant programs (i.e., programs NOT requiring a Letter of Intent):

Programs include: Basic Equipment; Planning; School Library Collection Development; and Strengthening Public and Academic Library Collections.

The following deadlines apply to 2011-2012 EZ grants.

| | |
|------------------------------|--|
| December 16, 2010 | Guidelines and applications available to libraries at http://statelibrary.ncdcr.gov/lsta/2011-2012Grants.htm |
| February 17, 2011 | Applications due by 5:00 p.m. * |
| June 14, 2011 | Announcement of funded projects at http://statelibrary.ncdcr.gov/lsta/lsta.htm |
| July 2011 – June 30, 2012 | Grant project implementation and expenditure period for 2011-2012 projects |
| October 15, 2011 | Postmark deadline for first grant reimbursement request |
| January 15, 2012 | Postmark deadline for second grant reimbursement request |
| April 15, 2012 | Postmark deadline for third reimbursement request; a minimum of 75% of grant amount must be requested by this deadline |
| June 30, 2012 | Date by which all project funds must be spent |
| July 15, 2012 | Final postmark deadline to submit grant reimbursement request |
| August 31, 2012 | State Library completes grant payments |
| September 30, 2012 | Final report due to State Library |

* Must be **received** in the State Library's Library Development Section Office, Room 310A, Archives & State Library Building.

9. Instructions for preparing and collating your application:

Your application is one of many that reviewers will read. Following these instructions will make it easier for reviewers to read and evaluate your proposal:

- Use an 11-point font size or greater and margins at least 1” on all sides. Concise wording is best.
- Use a header or footer, with a single page numbering system, throughout the whole document except for the application signature page.
- Include library name in header or footer on each page.
- When using attached sheets to answer questions, repeat only the question and question number from the application form, but not the explanatory information from the question.
- Any supplemental information or attachments should follow the completed application form.
- If you append any material not specifically requested in the application, be judicious in how much you include. Provide extracts of long documents. Reviewers can pay more careful attention to applications that are concise and supporting materials that are directly relevant.
- Copy your pages front and back if possible, on plain white paper.
- Staple application in upper left corner, with signature page on top. Do not bind or include a cover letter.
- Be sure to enclose 1 original of the required CIPA *Internet Safety Certification* form in your application package, if applicable. No additional copies are required.

10. Where do I apply?

Send completed applications to the address below. All applications must be received in the State Library’s Library Development Section Office (Room 310A, Archives & State Library Building) by 5:00 p.m. on February 17, 2011. Send

- **one** (1) original of your application with certifying signatures in blue ink,
- **one** (1) signed original of the CIPA *Internet Safety Certification* form, if applicable (<http://statelibrary.ncdcr.gov/lsta/cipa.htm>),
- **plus** the number of copies specified in the table below (excluding CIPA document).

| Grant Program | Application with original signatures in blue ink and, if applicable, CIPA Internet Safety Certification document <i>Include CIPA document with original application only; do not make copies.</i> | Copies of application (in addition to the original signed in blue ink) <i>Do not include CIPA document.</i> |
|---|--|--|
| Project Grants | | |
| Library Outreach Services | 1 | 22 |
| NC ECHO Digitization | 1 | 22 |
| Technology | 1 | 22 |
| EZ Grants | | |
| Basic Equipment | 1 | 13 |
| Planning | 1 | 13 |
| School Library Collection Development | 1 | 13 |
| Strengthening Public & Academic Library Collections | 1 | 13 |

Warning: To be considered, applications must be received in the Library Development Section Office by the 5:00 p.m., February 17, 2011, deadline. This is not a postmark deadline.

To assure on-time receipt by the State Library, applicants are strongly encouraged to use a commercial service and the Jones Street address. Packages sent via US Postal Service and Mail Service Center address (even Express Mail) frequently encounter delivery delays, and the US Postal Service does **not** deliver to the Jones Street address. Any application not received by the deadline will not be eligible for consideration.

| Delivery by commercial service (e.g. FedEx, UPS), or hand delivery: RECOMMENDED | Delivery by US Postal Service: |
|--|---------------------------------------|
| LSTA Grant Applications | LSTA Grant Applications |
| Library Development Section, Room 310A | Library Development Section |
| State Library of North Carolina | State Library of North Carolina |
| Archives & State Library Building | 4640 Mail Service Center |
| 109 E. Jones Street | Raleigh NC 27699-4640 |
| Raleigh NC 27601 | |

Questions? Contact Raye Oldham, Library Development Consultant, at: raye.oldham@ncdcr.gov or 919-807-7423.

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GRANT PROVISIONS

The following state and federal provisions apply to the LSTA grant program. Libraries awarded grants must agree to comply with these provisions.

1. Grant Agreement and Timing of Expenditures

Official notification of the grant award must be received from the State Library and a grant agreement (formal agreement between the grantee and the State Library) signed by both the representatives of the library and the State Librarian *before* any funds may be encumbered or expended for the project.

2. Allowable and Unallowable Costs

Grantees must carry out the grant project according to the approved grant proposal, and all federal funds must be expended solely for the purpose for which a grant was awarded.

The following costs are unallowable and may not be proposed as grant project costs: bad debts, contingencies, contributions and donations, entertainment, fines and penalties, under recovery of costs under grant agreements (excess costs from one grant agreement are not chargeable to another grant agreement).

3. Legal and Regulatory Compliance

Grantees must expend grant funds in accordance with all applicable local, state, and federal laws and regulations.

4. Budget Revisions and Programmatic Changes

Grantees must not deviate from the approved budget and plan for carrying out the grant project as contained in the approved grant application unless prior approval is obtained from the State Library.

5. Records Retention

Grantees must maintain adequate financial records to ensure complete reporting, and retain programmatic and financial records relating to the grant for a minimum of five years from the due date of the final grant report, or until all audit exceptions have been resolved, whichever is longer.

6. Free and Open Competition

Purchases made from grant funds must be carried out to ensure free and open competition to the extent possible. Libraries eligible to purchase under state contract may use this option for grant purchases.

7. Debarment & Suspension

Transactions for the purposes of this grant will not knowingly be made with parties who have been debarred or suspended from receiving Federal financial assistance under Federal programs and activities (Debarment and Suspension Certification). See Excluded Parties List System at <https://www.epls.gov>.

8. Equipment and Inventory

Equipment with unit price above \$1,000 purchased with grant funds must be labeled as purchased with LSTA funds and listed on biennial inventory reports requested by the State Library. If fair market value at the time of surplus or disposal exceeds \$5,000, disposal must be cleared with the State Library.

9. Publicizing & Acknowledging Funds

Grantees are required to credit IMLS/LSTA in all related publications and activities in conjunction with use of the grant funds. Grantees should publicize grant-supported activities in available and appropriate media.

The following acknowledgement statement must be used when meeting these requirements: "This publication/activity/program was supported by grant funds from the Institute of Museum and Library Services under the provisions of the federal Library Services and Technology Act as administered by the State Library of North Carolina, a division of the Department of Cultural Resources." Copies of any publications or materials produced under the grant must be submitted to the State Library.

10. Lobbying

Grantees are prohibited by federal law from using grant funds to pay costs associated with lobbying Congress or the public for purposes of influencing elections, legislation, or the award of any federal funds. Grantees receiving an award of over \$100,000 must file a certification regarding lobbying.

11. Non-discrimination

All library services provided as a result of the federal grant funds must be available without discrimination to all members of the community served. Participation may not be denied on the basis of race, color, national origin, handicap, age, or sex. Relevant legislation includes but is not limited to the following: Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §§701 *et seq.*); Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-83, and 1685-86); the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. §§6101 *et seq.*).

12. Audit and Financial Reporting Requirements

LSTA grants must be audited in compliance with federal and state audit requirements for local governments and public authorities, institutions of higher education, and non-profit organizations. The following source documents outline the standards and requirements:

- United States Office of Management and Budget: (OMB) Circular A-133 - Audits of States, Local Governments, and Non-Profit Organizations.
- North Carolina General Statute 143C-6-23 "State grant funds: administration; oversight and reporting requirements," and the corresponding rules of North Carolina Administrative Code, Title 09, Chapter 03M, "Uniform Administration of State Grants."

LEGAL REFERENCES:

- 2 CFR 220 - Cost Principles for Educational Institutions (formerly OMB Circular A-21)
- 2 CFR 225 - Cost Principles for State, Local, and Indian Tribal Governments (formerly OMB Circular A-87)
- 2 CFR 230 - Cost Principles for Non-Profit Organizations (formerly OMB Circular A-122)
- 45 CFR 1110 - Nondiscrimination in Federally Assisted Programs
- 45 CFR 1170 - Nondiscrimination on the Basis of Handicap in Federally Assisted Programs and Activities
- 45 CFR 1183 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
- 45 CFR 1185 - Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)
- OMB Circular A-102 – Grants and Cooperative Agreements with State and Local Governments
- OMB Circular A-110 – Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations