

State Library of North Carolina - Library Services and Technology Act

EZ PLANNING GRANT 2011-2012

DOCUMENT OUTLINE

Section 1, Program-Specific Information & Guidelines

Section 2, Application Instructions

Section 3, Application Form

PROGRAM-SPECIFIC INFORMATION & GUIDELINES, Section 1

GRANT PURPOSE

The purpose of this grant is **to support North Carolina libraries seeking to engage in effective planning to meet the needs of the users.** The planning activities and outcomes must be consistent with the library's mission and strategic goals.

Types of planning supported by this program include:

- 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 (please read Appendix A)
- analysis of processes or workflows for improvement of services to library users
- developing a comprehensive technology plan
- planning for a new/ upgraded integrated automated library system, including development of a RFP
- assessing archival and special collections and creating plans for digitizing them
- other planning necessary to prepare an application for a specific LSTA Project Grant (Library Outreach Services, Digitization, or Technology), for example:
 - Assessing community needs in preparation for launching a new service or program using an LSTA Library Outreach Services Grant;
 - Content selection and workflow planning in preparation for an LSTA Digitization Grant;
 - Activities intended to develop collaborative relationships among libraries as well as between libraries and other organizations in the community in preparation for an LSTA Project Grant;
 - Preparing for a multiyear project, which requires careful consideration of issues that are likely to affect a longer term project—especially if partnering with other libraries or institutions.

Other types of planning may be appropriate for this grant program. Please contact the State Library for additional information. Applicants whose planning may involve building or facility issues **MUST** read **Appendix A.**

ELIGIBLE LIBRARIES

The following libraries are eligible to apply for these grants:

- public libraries that qualify for grants from the Aid to Public Libraries Fund;
- community college libraries;
- libraries serving the constituent institutions of the University of North Carolina (which includes libraries serving the Area Health Education Centers);
- libraries serving the member institutions of North Carolina Independent Colleges and Universities;
- public schools with a qualified school library media center;
- library/media center administrative units of public school districts [A public school district is a local school administrative unit as defined in Chapter 115C of the North Carolina General Statutes.];
- qualified special libraries;
- qualified state agency libraries; and
- the State Library of North Carolina.

For definitions of qualifying public school library media centers, state agency libraries and special libraries, refer to **Appendix B**.

An eligible library or organization may submit only one application for an LSTA Planning Grant in each grant round. A “library” is the eligible public library system or an administratively separate library in an academic institution. [i.e., *A public library system is inclusive of all outlets making up that system (e.g. Nantahala Regional Library). An institution is the parent institution of the library (e.g. UNC-Greensboro). Administratively separate libraries in an academic institution are those libraries with separate administrative and reporting structures within the institution (e.g., the University Library and the Law Library at UNC-Chapel Hill)*].

Collaborative projects involving more than one library system are allowable; however, one of the partner libraries must be the lead library, responsible for accepting and administering the grant funds.

ALLOWABLE EXPENDITURES

Applicants are expected to request funding for consulting assistance as the primary expenditure in an LSTA Planning Grant proposal, but some other expenses may be necessary to carry out the planning effectively.

- fees for the services of a qualified consultant(s) to help carry out planning activities;
- cost of temporary staff that may be required to assist in the administration of a needs assessment or other information-gathering activities;
- supplies and postage;
- meeting costs for planning participants, including the cost of substitutes for public school library media coordinator or other school personnel participating in any planning effort; and
- travel / mileage expenses for planning participants.

UNALLOWABLE EXPENDITURES

- architectural plans for existing or new buildings;
- construction or pre-construction planning;
- collection development activities;
- retrospective conversion of catalog records;
- conventional arrangement, description, and cataloging of materials;
- preservation activities or materials (reformatting of media, preservation enclosures, etc.);
- entertainment or social events;
- lobbying or advocating for funding from local, state, or federal lawmakers; and
- overhead or administrative costs.

Any procurements (including the use of RFPs) involving these grant funds must follow all applicable local, state, and federal rules.

No expenditures of either grant or local matching funds may be made until after the library representatives and the State Librarian sign the grant agreement.

CONSULTING SERVICES

Applicants are expected to request funding for consulting assistance as the primary expenditure in an LSTA Planning Grant proposal. Consulting services must be provided by a consultant or consulting firm qualified to carry out the proposed activities. The consultant must be chosen before the application is submitted, and the applicant's choice is subject to State Library approval.

The applicant library must provide information demonstrating that the consultant(s) assisting in the planning process are qualified to provide appropriate consulting assistance. This information will include the following (as required in #5b of the Application Instructions):

- Name and address of the consulting firm.
- Name and title of each individual in the consulting firm who will carry out the project and the minimum number of hours each will dedicate to the project, and the number of onsite visits that the consulting firm will make.
- Description of the consultant's previous experience and why it makes the person the appropriate choice to assist with your project.
- Information from the proposed consultant that delineates how the costs for services will be calculated, including but not limited to projected hours/days to be worked, fees, travel expenses, and other project related expenditures.
- Vita or resume of each individual in the consulting firm who will be involved in the project. Include a list of any published articles on planning.
- A list of organizations, with contact names, addresses, and telephone numbers, for which the consultant has performed similar planning activities during the past five years. The list must identify two projects comparable in size to the proposed project.

The State Library has assembled a Consultant List to assist libraries in finding a consultant. The list is available at <http://statelibrary.ncdcr.gov/lsta/consultants.htm>. While the consultants on this list have performed work for libraries in North Carolina, this does not in itself constitute an endorsement of the consultant. Applicants should seek references from previous clients before choosing a consultant.

Grant applicants are encouraged to undertake the consultant selection process as early as possible. Consultant schedules sometimes fill up months in advance. If you have a place on a consultant's schedule you will be in a better position to begin your project promptly. However, **no contract can be signed with a selected consultant until grant agreements are signed by both the library's representatives and the State Librarian.**

FUNDS

The maximum amount that may be requested is \$20,000 for a single library system, and \$35,000 for a collaborative project of multiple library systems. Any costs above the maximum award are the responsibility of the local library(ies).

MATCHING FUNDS

No local matching funds are required for an LSTA Planning Grant.

SELECTION CRITERIA

The following factors and criteria will be used to determine priority for funding among the eligible applications.

I. Need

Priority will be given to planning activities that support the needs of the library's users. Applicants proposing to plan for an LSTA Project Grant must also demonstrate that they understand both the particular Project Grant program for which they wish to apply and the issues they must resolve before they are ready to submit an application for a Project Grant.

In addition to the clarity of the need, reviewers will be evaluating the level or extent of need in establishing priorities for funding.

II. Appropriateness of Proposed Planning Activities

The appropriateness of the proposed planning activities will be a key factor in determining the LSTA Planning Grant recipients. Reviewers will assess factors such as:

- how the proposed planning will benefit the library's users;
- conformity between the library's mission and proposed planning activities;
- proposed methodology and its suitability;
- consultant role, qualifications, and/or criteria for selection; and
- involvement of suitable partners.

III. Readiness

Evaluation of a library's readiness to carry out a planning process will be multifaceted, considering a series of questions:

- For applicants proposing to plan for an LSTA Project Grant, do the proposed activities reflect an understanding of the grant program's requirements?
- Has the library identified all issues that should be addressed in the planning process?
- Has the applicant articulated what result they want from the planning effort? How will they evaluate the success of the planning effort?
- Is the library willing to devote adequate time for staff and appropriate members of the community (trustees, community leaders, local government officials, etc.) to participate in the planning activities, including providing any consultants with background information?
- If the process is a collaborative one, are the partners identified and willing to be fully involved in the planning process?

See Section #1 of *General Information & Provisions* document for 2011-2012 LSTA grants (<http://statelibrary.ncdcr.gov/lsta/GenInfoProvs11-12.pdf>) for additional factors and issues that may be taken into account in the review of all grant proposals and selection of applications for funding.

ADDITIONAL INFORMATION

Contact your liaison consultant or Raye Oldham, Federal Programs Consultant, State Library of North Carolina, at 919-807-7423 or raye.oldham@ncdcr.gov .

These grants are supported by Library Services and Technology Act funds awarded to the State Library of North Carolina by the federal Institute of Museum and Library Services.

APPENDIX A

PLANNING THAT MAY LEAD TO BUILDING RENOVATION OR CONSTRUCTION

Federal law prohibits the use of LSTA funds for building renovation or construction. This includes:

- the use of architects to plan space utilization or to produce facility plans;
- developing plans or diagrams for electrical or network wiring; and
- any other activity that may be directly linked to building renovation or construction.

The State Library acknowledges that planning activities may naturally lead to recommendations for the renovation of a building or the construction of a new facility to provide better service to a library's users. These restrictions on the use of LSTA funds are not a judgment that such activities are inappropriate in themselves. Nevertheless, applicants for Planning Grants must be aware of these restrictions and must prepare and carry out their planning activities in a manner that does not violate federal law.

At times the language applicants use to describe their planning activities and the products of these activities may create the impression that unallowable renovation and construction activities are involved, even though that is not the case. Applicants should be very careful in their use of terminology to avoid creating inaccurate impressions. Clear distinctions should be made between activities paid for with Planning Grant funds and activities that will take place after the grant ends and that will be paid for with non-federal funds.

It may be difficult for applicants to determine whether certain specific planning activities are a permissible use of LSTA funds. Therefore we strongly encourage libraries to contact State Library staff for guidance when preparing Planning Grant applications.

APPENDIX B

DEFINITIONS OF QUALIFYING LIBRARIES

These definitions are from North Carolina's *Library Services and Technology Act Five-Year Plan 2008-2012* <<http://statelibrary.ncdcr.gov/lsta/plan2008-12.pdf>>.

Public School Libraries: Libraries/media centers in elementary or secondary (middle/junior and/or senior high) schools recognized as public schools by North Carolina's Department of Public Instruction and accredited by the Southern Association of Colleges and Schools. This definition includes libraries in state approved charter schools. For schools that have chosen not to seek accreditation by the Southern Association of Colleges and Schools, the school library media center must meet or exceed accreditation standards.

State Agency Libraries: Libraries that are part of a state government agency, including libraries that serve staff and residents of rehabilitative and correctional institutions.

Special Libraries: Libraries operated by professional, scientific, or trade associations, governments, hospitals, or other organizations, agencies, or institutions primarily to serve their own specialized clientele. To qualify a special library must be willing to share resources either through public access on site or through interlibrary loan within the state.

A library meeting one of the above definitions must first meet these broad policy guidelines for eligibility to apply for LSTA funds.

- Every library or organization defined as eligible to apply for LSTA funds must be either publicly funded (receive at least 51% of its operating funds from tax dollars) or not-for-profit (recognized as tax-exempt by the Internal Revenue Service).
- An eligible school library must be headed by a full-time certified school media coordinator. Other eligible libraries must be headed by a trained library professional with a masters degree in library and information science from a graduate library education program accredited by the American Library Association or by a regional accrediting organization.
- Every eligible library must have a cataloged collection of information resources, designated space, a materials budget, and be open a minimum of 20 hours per week.
- For collaborative projects one partner must be designated as the "lead" library to accept and administer the grant. The lead library in a collaborative project must meet all eligibility requirements.

APPLICATION INSTRUCTIONS, Section 2

- Review the General Information & Provisions for 2011-2012 LSTA Grants linked below and the Program-Specific Information & Guidelines in Section 1 of this document. <<http://statelibrary.ncdcr.gov/lsta/GenInfoProvs11-12.pdf>>.
- Beginning on page 2 of the Application Form, provide responses to each of the following. Then complete page 1 of the Application Form.

1. USERS AND NEED

Provide background information on how the need for this project was determined; describe how it will benefit the library's users.

2. PROJECT DESCRIPTION

- a. Describe the planning activities that you wish to carry out; tell us what you want to do. Explain how the project will benefit your users.
 - If you are planning to apply for an LSTA Project Grant, be sure to describe why your library intends to apply for that grant program and how your library's users will benefit.
- b. Establish a timeline listing the sequence of project activities with the expected completion dates. The timeline should be prepared in consultation with the consultant and any partner(s). Remember to accommodate the local institutional approval process and the grant program deadlines.
- c. Describe how the library proposes to provide adequate time for staff to participate in the planning process and to assist the consultant with background information.
- d. Describe how the library proposes to involve others in the community in your planning efforts (e.g., library users, trustees, community residents, community leaders, local government officials, institution staff and administration, local IT/MIS staff).
- e. If this project involves more than one library, describe:
 - the libraries that will be involved;
 - the rationale for a group effort; and
 - the roles and responsibilities of all parties during the planning grant.

3. GOALS

How does the proposed project support your library's mission and goals?

How does the proposed project support the goals of the State Library of North Carolina's LSTA plan <<http://statelibrary.ncdcr.gov/lsta/plan2008-12.pdf>>?

4. EVALUATION

Describe how the library will evaluate the success of this planning effort; include the expected results, product(s), and outcomes of your planning activities.

5. PROJECT CONSULTANT AND OTHER PERSONNEL

- a. Provide the name and describe the role and key responsibilities of the consultant or consulting firm you plan to hire.
- b. Provide **one copy** of the following information for the consultant(s):
 - Name and address of the consulting firm.
 - Name and title of each individual in the consulting firm who will carry out the project, the minimum number of hours each will dedicate to the project, and the number of onsite visits that the consulting firm will make.
 - Describe the consultant's previous experience and why it makes the person the appropriate choice to assist you with your project.
 - Attach a document from the proposed consultant that delineates how the costs for services will be calculated, including but not limited to projected hours/days of work, fees, travel expenses, and other project related expenditures.

continued on next page

Do not include this instruction page with your application.

- Vita or resume of each individual in the consulting firm who will be involved in the project. Include a list of any published articles on planning.
- A list of organizations, with contact names, addresses, and telephone numbers, for which the consultant has performed similar planning activities during the past five years. The list must identify two projects comparable in size to the proposed project.

6. BUDGET WITH ESTIMATED PROJECT EXPENDITURES

a. Budget Table

Complete the budget table on the Application Form to provide the estimated costs required to carry out the project.

b. Budget Narrative

- Provide a clear explanation of each expenditure included in your budget with any information that will help reviewers understand how you will be spending money in support of the project's goals.
- Include a document from the proposed consultant that delineates how the costs for services will be calculated (as required in 2b above).
- If applicable, identify and explain any additional expenses that the library will incur and pay with local funds.

7. CIPA CERTIFICATION AND COMPLIANCE, if applicable (others respond with N/A)

Every public library that submits an application for funding to the State Library must include one original of the Internet Safety Certification document

<<http://statelibrary.ncdcr.gov/lsta/SafetyCert2011.pdf>> as part of its application package.

Those interested in compliance information should read the LSTA CIPA Compliance Information document at <<http://statelibrary.ncdcr.gov/lsta/compliance11.pdf>>.

If you have questions regarding CIPA certification and compliance, please contact Timothy Owens at timothy.owens@ncdcr.gov or 919-807-7424.

APPLICATION CHECKLIST

Refer to Section #9 in the *General Information & Provisions* for LSTA Grants 2011-2012

<<http://statelibrary.ncdcr.gov/lsta/GenInfoProvs11-12.pdf>>.

- _____ Completed and signed application.
- _____ Complete budget table, with figures that add up correctly.
- _____ **1 original application** with certifying signatures **in blue ink, plus 13 copies** (14 total).
- _____ **1 original** of the consultant information required in #5b.
- _____ **1 original** of the required **CIPA** certification form (public libraries).

DUE DATE

The complete application package must be received by **5:00 p.m. February 17, 2011**, in the Library Development Section Office, Room 310.

Do not include this instruction page with your application.

DELIVERY INFORMATION

To be eligible for consideration, applications must be received in the Library Development Office by the 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 to the Mail Service Center address (even Express Mail) frequently encounter delivery delays, and the US Postal Service does **not** deliver to the Jones Street address.

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

Do not include this instruction page with your application.

State Library of North Carolina - Library Services and Technology Act

EZ PLANNING GRANT APPLICATION FORM, Section 3
2011-2012

DUE DATE: Original and required copies must be received by **5:00 p.m. February 17, 2011**, in the Library Development Section Office, Room 310.

INSTITUTION / LIBRARY: _____

MAILING ADDRESS: _____

U.S. CONGRESSIONAL DISTRICT (in which library is located): _____

PROJECT MANAGER, NAME / TITLE: _____

PHONE: _____ **FAX:** _____ **E-MAIL:** _____

GRANT AMOUNT REQUESTED (whole dollars): _____ **\$** _____
(maximum \$20,000 for single library system; \$35,000 for multi-system collaboration)

PLANNING FOR: General / long-range Library Outreach Services Grant
 Specific services / programs NC ECHO Digitization Grant
 Technology plan Technology Grant

PROJECT ABSTRACT (clearly and concisely summarize your project in the space provided)

CERTIFICATION AND SIGNATURES

We are aware of, and agree to comply with, all state and federal provisions and assurances required under this grant program. If awarded grant funds, we assure that we will carry out the grant project according to the approved grant proposal. This application has been authorized by the appropriate authorities of the applying institution/library.

Printed name of library director or media coordinator

Printed name & title of local government or institutional authorizing official

Signature of library director or media coordinator

Signature of above official

Date

Date

EZ PLANNING GRANT APPLICATION FORM

Build your application on the next few pages by typing your responses under each number and heading (from the Application Instructions). Provide information in table for #6a.

1. USERS AND NEED

2. PROJECT DESCRIPTION

3. GOALS

4. EVALUATION

5. PROJECT CONSULTANT AND OTHER PERSONNEL

6. BUDGET TABLE, use table below

7. BUDGET NARRATIVE

8. CIPA CERTIFICATION AND COMPLIANCE, if applicable (others respond with N/A)

6 a. BUDGET TABLE

EXPENDITURE CATEGORY	LSTA	LOCAL (if any)	TOTAL
A. Consulting Fees	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____
_____	_____	_____	_____
Subtotal	_____	+	=
B. Temporary Staff Wages and Benefits	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____
Subtotal	_____	+	=
C. Supplies	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____
Subtotal	_____	+	=
D. Postage	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____
Subtotal	_____	+	=
E. Printing	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____
Subtotal	_____	+	=
F. Travel Costs	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____
Subtotal	_____	+	=
G. Other Costs (specify)	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____
Subtotal	_____	+	=
H. TOTAL A through G	\$ _____	+	=

The maximum amount of LSTA grant funds that may be requested is \$20,000 for a single library system, and \$35,000 for a collaborative project of multiple library systems.