

## State Library of North Carolina – Library Services and Technology Act

### LSTA GRANTS, 2012-2013 GENERAL INFORMATION & PROVISIONS

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.

#### SELECTION FOR FUNDING

To be eligible for consideration, a complete application must be received by the due date. 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/financialfactors1213.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
- the number and type of grants and the total dollar value that a library has received over the life of LSTA.

#### PLANNING CONSIDERATIONS

A library may determine that additional planning is needed before they are ready to apply for a project grant. If so, a preliminary step may be to apply for an LSTA Planning Grant. A Planning Grant, which has no matching requirement, provides 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 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 or RFID, 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 (Digitization, Library Outreach and Innovative Services, or Technology).

## APPLICATION AND REVIEW PROCESS

- An eligible library or organization may submit only one application per grant program in each grant cycle; a library/organization may submit applications in more than one grant program in each grant cycle.
- The State Library provides tipsheets containing additional information applicants should consider before developing their applications. <<http://statelibrary.ncdcr.gov/lsta/tipsheets.htm>>.
- Library Development Consultants are available (until a week before the due date) to review draft applications and provide feedback, as needed.
- To be eligible for review, grant applications must be received in the State Library's Library Development Section Office (Room 310, Archives & State Library Building) by 5:00 p.m., on the due date.
- Only **complete** applications from eligible institutions will be reviewed.
- 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.

### EZ Grant programs (no Letter of Intent required)

- 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.
- An appeal of the funding decision is allowable for EZ grant categories allow; awards are not final until the appeals process is complete.

### Project Grant programs (Letter of Intent required)

The 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 the project concept is competitive and meets the criteria for the selected program.

**Step #1** Complete and submit the Letter of Intent Form. Any library interested in applying for a Project Grant must submit a Letter of Intent (LOI) Form explaining the proposed project. Instructions and the form can be found at <<http://statelibrary.ncdcr.gov/lsta/2012-2013Grants.htm>>. State Library staff, in some cases peer reviewers, and the LSTA Advisory Committee review the Letters of Intent; the LSTA Advisory Committee recommends which libraries are approved to submit a full application.

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 during each year of the project and the estimated budget for each year of the project.

**Step #2** Complete and submit the project grant application (only for libraries approved to submit a full application); Information & Guidelines can be found at <<http://statelibrary.ncdcr.gov/lsta/lsta.htm>>.

- 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.
- No appeal is available since the LSTA Advisory Committee, State Library Consultants, and Senior Management review all LSTA Project grants.

For multiyear projects, the full application must include an action plan and timeline for each proposed year, 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.

### NC Cardinal Grants (no Letter of Intent required)

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.

## IMPORTANT DATES

September 20, 2011	EZ and Project Grant guidelines posted Letter of Intent instructions & form posted NC Cardinal guidelines & application posted
<b>November 8, 2011</b>	Letter of Intent Forms due NC Cardinal applications due
November 15, 2011	EZ Grant application forms posted
December 16, 2011	Letter of Intent and NC Cardinal applicants notified Project Grant application forms provided to approved libraries
<b>February 16, 2012</b>	EZ and Project Grant applications due (including year 2 or 3)
June 12, 2012	EZ and Project Grant awards announced < <a href="http://statelibrary.ncdcr.gov/lsta/lsta.htm">http://statelibrary.ncdcr.gov/lsta/lsta.htm</a> >

## GRANT PAYMENTS

Grant payments 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.

- 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 each quarter. Regular reimbursements ensure an even flow of grant payments.
- **April 15, 2013** is the date by which 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, 2013.
- **June 30, 2013** is the date by which all project funds (grant and matching) must be spent.
- **July 15, 2013** is the final postmark deadline for submitting grant reimbursement requests. The State Library will complete all payments by August 31, 2013.

## REQUIRED REPORTS

All LSTA grant recipients must submit a report to the State Library by September 30, 2013 on their grant-funded project. 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 the form for the grant report. Please review the type of report you will have to provide in order to develop your evaluation and reporting plan. The 2010-2011 online report form may be found at <<http://statelibrary.ncdcr.gov/lsta/report1011.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>>.

## CIPA CERTIFICATION AND COMPLIANCE (for projects providing access to the Internet)

LSTA CIPA Compliance Information is available at <<http://statelibrary.ncdcr.gov/lsta/cipa.htm>>.

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 must include **one** original of the Internet Safety Certification document as part of their application package, **if their project will provide access to the Internet.** < <http://statelibrary.ncdcr.gov/lsta/SafetyCert.pdf>>

**APPLICATION INSTRUCTIONS**

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.

- Prepare and save all responses to the Application Form in MSWord; applicants that choose online delivery will be unable to save partially completed applications.
- Use an 11-point font size or greater and margins at least 1” on all sides; concise wording is best.
- Use a header with the library name and a single page numbering system on each page.
- 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.
- Any supplemental information or attachments should follow the completed application form.
- Complete and submit the Online Signature Page.  
<<https://www.formrouter.net/forms@SLNC/LSTASigPage.pdf>>
- Be judicious in how much material you send that is not specifically requested in the application; provide extracts of long documents.
- For physical document delivery:
  - a. Copy pages front and back if possible, on plain white paper.
  - b. Staple application in upper left corner.

**SUBMISSION AND DELIVERY OF EZ and PROJECT GRANT APPLICATIONS**

There are two delivery options: 1) email or 2) physical delivery of one original and required copies. Only complete applications are eligible for consideration. All application documents must be received in the Library Development Office by **5:00 p.m. on February 16, 2012.**

**For email delivery**

- Email the Application Form as an attachment to [LSTA@ncdcr.gov](mailto:LSTA@ncdcr.gov).
- Print the Online Signature Page that is emailed as a pdf file to the library director, obtain required signatures, return by email attachment to [LSTA@ncdcr.gov](mailto:LSTA@ncdcr.gov) or by fax to 919-733-8748.
- Send any additional/supplemental information by email attachment to [LSTA@ncdcr.gov](mailto:LSTA@ncdcr.gov) or by fax to 919-733-8748.

**For physical delivery**

Submit a complete application and the number of copies specified in the table below to an address below. 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.

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

A complete application includes

- **one** (1) original application;
- **one** (1) Signature Page with certifying signatures, received via fax or email;
- **one** (1) signed original of the CIPA *Internet Safety Certification* form, if applicable;
- **one** (1) complete set of any supplemental information or documents; and
- the number of copies specified in the table below, **if using the physical delivery option**. Applications delivered via email do not require additional copies.

<b>Grant Program</b>	<b>Application with original signatures and CIPA Internet Safety Certification form, if applicable</b> (Include CIPA form with original application only; do not make copies.)	<b>Copies of application (in addition to the original)</b> <i>Do not include CIPA document.</i>
<b>EZ Grants</b>		
Library Outreach & Innovative Services	1	12
Planning	1	12
Strengthening Public & Academic Library Collections	1	12
Technology (formerly Basic Equipment)	1	12
<b>Project Grants</b>		
Letter of Intent	1	21
Digitization	1	21
Library Outreach & Innovative Services	1	21
Technology	1	21

### **SUBMISSION AND DELIVERY OF THE NC CARDINAL GRANT APPLICATION**

There are two delivery options: 1) submit online, or 2) physical document delivery. To be eligible for consideration, a complete application must be received in the Library Development Office by **5:00 p.m.** on **November 8, 2011**.

**To submit online:** email documents as attachments to Vicki Wheeler at [vicki.wheeler@ncdcr.gov](mailto:vicki.wheeler@ncdcr.gov)

**To submit physical documents** use an address below. 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.

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

A complete application includes

- **one** (1) original application, and
- **one** (1) signed original of the CIPA *Internet Safety Certification* form, if applicable.

### **ADDITIONAL INFORMATION**

Contact your liaison consultant or Raye Oldham, Federal Programs Consultant at 919-807-7423 or [raye.oldham@ncdcr.gov](mailto:raye.oldham@ncdcr.gov).

## 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