

State Library of North Carolina – Library Services and Technology Act

COLLABORATION & INNOVATION PROJECT GRANT PROGRAM-SPECIFIC INFORMATION & GUIDELINES 2013-2014

GRANT PURPOSE

The purpose of this grant program is to foster **collaboration and innovation in North Carolina libraries to extend their reach and enhance their capacity**. Through collaboration, organizations can achieve more by working together than they can alone. This may be achieved through library partnerships - with each other, with businesses, and with other organizations; or through creative, innovative experimentation in trying new or different approaches to programs, services, or technologies. Projects may encompass collaboration/partnership, innovation, or both.

Partnerships are encouraged, though not required. A project partner is a library or non-library entity that will contribute specific deliverables or resources such as staff, funding, meeting space, etc. to the project. The applicant must demonstrate knowledge of other agencies and organizations that also provide services to the targeted audience and must show that they were, at a minimum, considered during the planning and grant writing stages of the project. If there are agencies and organizations that might be considered as obvious partners for the proposed project but that are not included in project development or implementation, the exclusion of such an organization should be explained.

Collaboration

Collaboration grants are designed to support teams of two or more organizations that seek to create or expand partnerships in order to achieve measurable outcomes for the people they serve. Projects must increase the quantity, quality, or efficiency of the services, operations or capacities of the partner organizations. Project plans must address the sustainability of the project's impact after the grant period has ended.

Innovation

Innovation seeks to improve systems that already exist, making them better, faster, leaner with a focus on new technologies, new business models, etc. Projects should be replicable at a reasonable cost and must satisfy a specific need. Innovation promotes creativity, discovery, learning, experimentation, development, imitation, and adoption of new products, processes, or organizational set ups. Preliminary data is not required but the underlying premise, goal, or hypothesis must be plausible.

Project Grants may be single year or multi-year (up to three years) in length, must cost \$50,000 or more, and require a Letter of Intent. Complete guidelines for multi-year grants are available at http://statelibrary.ncdcr.gov/ld/grants/lsta/13_14/multiyear1314.pdf.

This grant program supports Goal #1 of North Carolina's *Library Services & Technology Act Five-Year Plan 2013-2017*: "North Carolina libraries will partner with each other, with businesses, and with other organizations to extend their reach and enhance their capacity."
<<http://statelibrary.ncdcr.gov/ld/grants/lsta/plan2013-17.pdf>>

PREPARATION

Applicants must be familiar with the information and requirements in the *General Information & Provisions* document. <http://statelibrary.ncdcr.gov/ld/grants/lsta/13_14/GenInfoProvs13-14.pdf>

Applications must be user-focused and clearly justified. Prior to applying for this grant, prospective applicants should have:

- Assessed the community to be served and considered the local organizations already representing and serving that community.
- Established relationships with partners (if any) in the proposed project.

- Involved both the targeted audience and partners (if any) in project planning, decision-making and proposed implementation.
- Compiled quantitative (numerical/statistical) and qualitative data to support the need for the proposed project.
- Demonstrated that the proposed activities support the needs of the specific audience.
- Determined that the proposed project is consistent with the library's long-range plans, strategic priorities, and local or institutional policies.
- Determined that the proposed project is consistent with the partner's long-range plans, strategic priorities, and local or institutional policies.
- Obtained the support and commitment of the applicant's governing and/or funding bodies regarding sustainability of services once the grant is completed.

EZ Planning Grants are available to assist libraries with needs assessment and project planning in preparation for a Project Grant application. Applicants receiving a Planning Grant are not guaranteed funding for a subsequent Project Grant. For more information about Planning Grants see the EZ Planning Grant Guidelines. <<http://statelibrary.ncdcr.gov/ld/grants/lsta.html>>

APPLICATION PROCESS

To be considered for funding, Project Grants require a two-step process.

1. A Letter of Intent must be received at the State Library by 5:00 p.m. on **November 1, 2012**.
2. If the Letter of Intent is approved, a complete application must be received at the State Library by 5:00 p.m. on **February 28, 2013**. For more information see the *General Information & Provisions* document at <http://statelibrary.ncdcr.gov/ld/grants/lsta/13_14/GenInfoProvs13-14.pdf>.

GRANT FUNDS

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

The minimum Project Grant amount that may be requested is \$50,000; the maximum is up to \$100,000. Any costs above the maximum award are the responsibility of the local library.

MATCHING FUNDS

Matching funds of 25% are required (unless the project has one or more partners*) and must be clearly documented in the application; up to 25% of these matching funds may consist of cost share.

- Matching funds consist of cash expenditures paid by the library.
- Cost share and in-kind contributions may consist of salary and benefits for existing staff who will work with the project.
- The source(s) of matching funds must be clearly identified in the grant application.
- The match may come from a combination of local or state funds or funds from non-governmental agencies (e.g. foundations, service clubs). Federal funds and local administrative overhead costs may **not** be used as match.
- Matching funds must be spent for allowable expenditures.
- Matching funds must be available at the time a funded library signs the grant agreement.
- Matching funds must be spent during the same allowable expenditure period as the grant funds.

The local match must equal a minimum of 25% of the grant amount requested for a single library project. The match is a 1 to 4 ratio of matching funds to grant funds. For example, if the grant amount requested is \$60,000, the local match must be at least \$15,000; thus the total project cost will be at least \$75,000 (\$60,000 + \$15,000 = \$75,000).

*Projects with one or more partners have a lower match requirement equaling 10% of the grant amount requested. This match is a 1 to 10 ratio of matching funds to grant funds. For example, if the grant amount requested is \$60,000, the local match must be at least \$6,000; thus the total project cost will be at least \$66,000 (\$60,000 + \$6,000 = \$66,000).

COST SHARE

- Cost share may be used for up to 25% of the required match.
- Cost share must be documented on the required State Library Reimbursement Form to be credited toward the match.
- Applicants must indicate the role of staff member(s) with regard to the project, must provide hourly pay rate x number of hours the staff will work on the project, and benefits calculations separately (not as a lump sum).
- Using a Project Grant figure of \$75,000, for which \$15,000 is the required match, a maximum of \$3,750 of the match may be cost share or in-kind contribution ($\$15,000 \times 25\% = \$3,750$) if the full award is claimed.

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

Multi-year Projects

- Applicants must address plans for long-term sustainability of the service or program.
- In an effort to move the project toward sustainability, the local contribution must increase each year. The second year match is 33% of the LSTA funds (a ratio of 1 to 3), and the third year is 50% of LSTA funds (a ratio of 1 to 2).
- The State Library recognizes that a commitment for future years' matching funds may not be possible; the intention to provide matching funds in years two and/or three will suffice in the first year of the application.

ALLOWABLE EXPENDITURES

- Salaries and benefits for temporary staff to be employed for the project. Temporary staff means part-time or full-time personnel hired specifically to help carry out the project, or additional hours for existing part-time staff. The budget narrative should explain the basis for determining the salary and benefits, with benefits shown separately from the salary (not as a lump sum).
- Contractual services. Applicants must show that proposed contractors are qualified to perform the needed work or service.
- Equipment and/or technology to support the project.
- Furniture that is crucial to the success of the project.
- Library materials that support the programs and services that are the project's main focus. The acquisition of library materials should not be the primary purpose of the project.
- Travel and/or training expenses related to the project.
- Supplies specific to the project.
- Postage and printing costs for project materials.
- Other expenses that are justifiable, allowable, and needed to implement the project.

Note: While **promotional activities** are an important aspect of many projects, there are federal restrictions limiting promotional and marketing costs. Applicants should confer with State Library staff for guidance on allowability of proposed expenditures for promotional efforts.

Grantees are required to conduct all procurement transactions in a manner providing full and open competition consistent with the federal standards of 45 CFR 1183.36. Local and state provisions may be more stringent. State requirements are available upon request.

UNALLOWABLE EXPENDITURES

- Refreshments, entertainment, or social events
- Most promotional items and memorabilia, including models, gifts, and souvenirs
- Salaries, wages, and/or benefits for existing full-time employees
- Ongoing expenditures (subscriptions, utilities, Internet access, or other services)
- Administrative "overhead" or indirect costs

SELECTION CRITERIA

The project must be user-centered, not library-centered. The project must focus on delivering library services and programs that are based on the needs of the target audience. Representatives of the target audience must be included in developing the project plan. For example, include members of the target audience on a planning committee; invite them to serve in an advisory capacity; conduct interviews or focus groups with them, etc.

The application must provide clear, complete information and rationale to support the applicant's request for funding. Funds must be used for necessary and allowable costs to achieve the project's goals. The applicant must clearly state how proposed expenditures were determined and why each is needed to achieve project objectives.

QUESTIONS?

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