

State Library of North Carolina – Library Services and Technology Act

GENERAL INFORMATION & PROVISIONS 2013-2014

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

ELIGIBLE LIBRARIES

An eligible library or organization may submit one application per grant category each year. A “library” is the eligible public library system or an administratively separate library in an academic institution. A public library system is inclusive of all outlets making up that system (e.g. Nantahala Regional Library). An academic 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).

The following libraries are eligible to apply for these grants:

- public libraries that meet the eligibility requirements for 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); and
- libraries serving the member institutions of North Carolina Independent Colleges and Universities.

PARTNERSHIPS

Partnerships are encouraged for all projects, 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.

All partnering organizations will be required to sign a Project Partner Memorandum of Understanding form before the project begins. The form will be provided with the grant agreement for awarded projects that applied with project partners.

PLANNING CONSIDERATIONS

EZ Planning Grants are available for assistance with additional planning that may be needed prior to submitting a Project Grant Application. Planning Grants have no matching requirement and 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 implementation of RFID (radio frequency identification technology), including development of an RFP;
- planning for a new or upgraded ILS (integrated library system) online catalog, 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.

IDENTIFYING THE TARGET AUDIENCE

Specific audiences that may be targeted through this program may include one or more of the following:

- the library's primary audience (i.e. the legal service area for a public library; students, faculty, and staff for an academic library);
- individuals of diverse geographic, cultural, and socioeconomic backgrounds;
- individuals with limited functional literacy or information skills;
- individuals with disabilities;
- persons having difficulty using a library;
- underserved urban and rural communities; and
- children from families with incomes below the poverty line.

APPLICATION AND REVIEW PROCESS

- Eligible libraries may submit one application per grant category per year.
- Library Development Consultants are available to review draft applications and provide feedback.
- The State Library provides tipsheets that applicants should consider before developing their applications. <<http://statelibrary.ncdcr.gov/ld/grants/lsta/2013-2014grants.html#Tipsheets>>.
- To be eligible for review, grant applications must be received online by 5:00 p.m. on the due date.
- Only **complete** applications from eligible libraries will be reviewed.
- The announcement of funded applications will be posted on June 11, 2013 to the State Library's LSTA web site. <<http://statelibrary.ncdcr.gov/ld/grants/lsta.html>>

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; 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 intended to save time and other resources for libraries. The two step process allows the library to determine whether the project concept is competitive and meets the criteria for the selected program.

Step #1 Libraries interested in applying for a Project Grant must submit a Letter of Intent (LOI) Form explaining the proposed project by **November 1, 2012**. State Library staff and the LSTA Advisory Committee review the Letters of Intent; the LSTA Advisory Committee recommends which libraries are approved to submit a full application.

Step #2 Libraries approved to submit a full application will complete and submit the project grant application by **February 28, 2013**. Eligible applications will be reviewed and evaluated by State Library staff 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.

Multi-year projects

Step #1 The Letter of Intent must identify the intention to apply as a multi-year 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 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 each year 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 7, 2012	Annual Program Plan posted EZ Grant Guidelines and Applications posted Project Grant Guidelines posted Letter of Intent Instructions and Form posted NC Cardinal Guidelines & Application posted
November 1, 2012	Letters of Intent (LOI) for Project Grants due NC Cardinal Applications due
December 12, 2012	Letter of Intent decisions announced Project Grant Applications posted
February 28, 2013	All EZ and Project Grant Applications Due (including Multi-year Project Grants)
June 11, 2013	Grant awards announced at < http://statelibrary.ncdcr.gov/ld/grants/lsta.html >

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 may submit requests for reimbursement once each quarter. Regular reimbursements ensure an even flow of grant payments.
- **April 15, 2014** 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, 2014.
- **June 30, 2014** is the date by which all project funds (grant and matching) must be spent.
- **July 15, 2014** is the final postmark deadline for submitting grant reimbursement requests. The State Library will complete all payments by August 31, 2014.

REQUIRED REPORTS

All LSTA grant recipients must submit a report to the State Library by **September 30, 2014** 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 forms for this report. Please review the report forms in order to develop your evaluation and reporting plan. The 2011-2012 online report forms may be found at

<<http://statelibrary.ncdcr.gov/ld/grants/lsta/2011-2012Reports.html>>.

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. 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)

If the project will provide access to the Internet, public libraries must include **one** original of the Internet Safety Certification document as part of their application package. LSTA CIPA Compliance Information is available at <<http://statelibrary.ncdcr.gov/ld/grants/lsta/cipa.html>>.

APPLICATION INSTRUCTIONS

- Prepare and save all responses to the Application Form.
- 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.
- Be judicious in how much material you send that is not specifically requested in the application; provide extracts of long documents.

SUBMISSION OF GRANT APPLICATIONS

All application documents must be received in the Library Development Office by **5:00 p.m.** on the due date. Combine all documents in the order listed and submit the complete application as a single attachment to LSTA@ncdcr.gov. Only complete applications are eligible for consideration.

EZ and Project Grant Applications

EZ and Project Grant Applications are due on **February 28, 2013**. A complete application includes each of the following, submitted online. LSTA Grant information and documents are available at <http://statelibrary.ncdcr.gov/ld/grants/lsta/2013-2014Grants.html>.

- **one** (1) Online Signature Page with required signatures;
- **one** (1) original application;
- **one** (1) signed original of the CIPA *Internet Safety Certification* form, if applicable; and
- **one** (1) complete set of any supplemental information or documents, if applicable.

NC Cardinal Grant Applications

NC Cardinal Grant Applications are due on **November 1, 2012**. A complete application includes each of the following, submitted online. LSTA Grant information and documents are available at <http://statelibrary.ncdcr.gov/ld/grants/lsta/2013-2014Grants.html>.

- **one** (1) Online Application;
- **one** (1) signed original of the CIPA *Internet Safety Certification* form; and
- **one** (1) complete set of any supplemental information or documents, if applicable.

QUESTIONS?

Contact your liaison consultant or Raye Oldham, Federal Programs Consultant, at 919-807-7423 or 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

Written approval from the State Library is needed prior to the purchase of equipment over \$5,000 per unit. Approved purchases must be listed on the final report submitted to the State Library. Disposal of the item(s) that exceed \$5,000 market value at the time of surplus or disposal must be cleared in advance 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