

State Library of North Carolina – Library Services and Technology Act

GENERAL INFORMATION & PROVISIONS 2014-2015

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). North Carolina's LSTA program information is available at <<http://statelibrary.ncdcr.gov/ld/grants/lsta.html>>.

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 North Carolina 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.

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:

- Strategic/Long-Range planning for programs and services for current or future library users, including community needs assessments
- Analysis of processes or workflows for improvement of services to current or future library users
- Space Needs/Reallocation to improve or expand services to current or future library users (see Appendix)
- Developing a comprehensive Technology Plan
- Planning for a new upgraded integrated automated library system, which may include 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.

IDENTIFYING THE TARGET AUDIENCE

Specific groups of current or future library users or non-users (audiences) that may be targeted through this program may include one or more of the following:

- the library's primary users or 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.

SELECTION CRITERIA

- The project must be user-centered, not library-centered. A user-centered project will focus on delivering library services and programs that are based on the needs of the library's current or future users or 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 in response to each number in the Program-Specific Application Instructions and Application Form.
- Funds requested must be for reasonable, necessary, and allowable costs to achieve the project's goals; the application must provide rationale to support how the proposed expenditures were determined and why each is needed to achieve the project goals.
- The number, type, and total dollar value of prior LSTA grants the library has received, or is presently involved in, may be a factor in selecting applications for funding.
- The applicant library's management of prior LSTA grants (such as meeting specified deadlines, completing various reports, etc.) may be a factor in selecting applications for funding.

APPLICATION AND REVIEW PROCESS

- Eligible libraries may submit one application per grant category per year.
- Library Development Consultants are available to provide feedback throughout the application process and to review draft applications.
- The State Library provides tipsheets that applicants should consider before developing their applications.
- To be eligible, grant applications must be received online by 5:00 p.m. on the due date.
- Only **complete** applications from eligible libraries will be considered.
- The announcement of funded applications will be posted on June 3, 2014 to the State Library's LSTA web site.

EZ Grant programs (no Letter of Intent required)

Eligible applications will be reviewed and evaluated according to the grant program criteria by State Library Consultants and Senior Management. Funding recommendations will be submitted to the State Librarian; the State Librarian will make final funding decisions.

Project Grant programs (Letter of Intent required)

Project Grant programs require a Letter of Intent (LOI) which is a preliminary step that allows the library to receive feedback from the State Library and Advisory Committee before submitting a full application. This process helps ensure that the project concept meets the criteria for the selected program and identifies ways to help the application become stronger and more competitive.

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, 2013**. 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 project grant application.

Step #2 – Libraries approved to submit a full application will complete and submit the Project Grant application by **February 28, 2014**. Eligible applications will be reviewed and evaluated according to the grant program criteria by State Library Consultants, State Library Senior Management, and the LSTA Advisory Committee. The LSTA Advisory Committee will consider the applications in conjunction with comments from other reviewers and make recommendations to the State Librarian regarding funding. The State Librarian will make final funding decisions.

Multi-year Project Grants may be funded for a maximum of two years though no project will be guaranteed funding for the second year. The application must address plans for long-term sustainability of the service or program. In an effort to move the project toward sustainability, the local contribution for all Multi-year Project Grants will increase in the second year to 33% of the LSTA funds (a ratio of 1 to 3). Multi-year Project Grants require quarterly reports and a mid-year monitoring visit before the second year's application. Factors that will determine funding for a second year include the number and type of grant applications involving the applicant library and the grantee's effectiveness in managing the project to date, including providing required reports to the State Library.

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 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.

IMPORTANT DATES

September 6, 2013	Annual Program Plan posted EZ Grant Guidelines and Applications posted Project Grant Guidelines posted Letter of Intent Instructions and Form posted NC Cardinal Application posted
November 1, 2013	Letters of Intent (LOI) for Project Grants due
December 11, 2013	Letter of Intent libraries notified Project Grant Applications posted
February 28, 2014	All Applications Due All EZ Grant, Project Grant, and NC Cardinal Applications due
June 3, 2014	Grant awards announced at < http://statelibrary.ncdcr.gov/ld/grants/lsta.html >

GRANT PAYMENTS

Grant payments are made 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 are expected to submit grant reimbursement requests with appropriate documentation of eligible project (grant and matching) expenditures at least quarterly, on or before October 15, January 15, and April 15.
- Grantees must request a minimum of seventy-five percent (75%) of the award amount and provide documentation for seventy-five percent (75%) of the required match by **April 15, 2015**. Requests received by this date will be paid by June 30, 2015.
- All project funds (grant and matching) must be spent by **June 30, 2015**.

- All grant reimbursement requests must be submitted by **July 15, 2015**.

MATCHING FUNDS

Some grant categories require matching funds, some do not. When there is a 25% matching requirement, projects with one or more partners may be eligible for a reduced match equal to 10% of the grant amount requested. To be eligible for the reduced match, all partner organizations (except the applicant library) will be required to complete and sign a LSTA Partner Statement form to document the partner's deliverables to the project. The form will be provided with the grant agreement for awarded projects that applied with project partners and proposed a 10% match. See the grant category's Program-Specific Information & Guidelines for detailed information.

REQUIRED REPORTS

Each LSTA grant recipient must submit a final report for their project to the State Library by **September 30, 2015**; the State Library will provide an online form for this report. The report will include a summary of grant expenditures, a review of the project's accomplishments and descriptions of outcomes/benefits for users. Please review the 2012-2013 online report form in order to develop your evaluation and reporting plan. <<http://fs25.formsite.com/statelibrarync/lstafinal/index.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

Public libraries must be CIPA compliant if the project involves any technology that will provide access to the Internet. **One** original of the Internet Safety Certification document must be provided with the signed Grant Agreement. Information about LSTA CIPA Compliance is available at <<http://statelibrary.ncdcr.gov/ld/grants/lsta/cipa.html>>.

APPLICATION FORMATTING INSTRUCTIONS

- Use an 11-point font size or greater and margins at least 1" on all sides; concise wording is best.
- Insert the library name in the document header; insert the grant category and page numbers in the document footer.
- List the Project Activities chronologically in a table format.
- Use the Budget Table provided in the Application Instructions.
- Any supplemental information or attachments should follow the completed application form.
- 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 below and submit the complete application as a single attachment via email 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, 2014**. A complete application includes:

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

NC Cardinal Grant Applications

NC Cardinal Grant Applications are due on **February 28, 2014**. A complete application includes:

- **one** (1) online application;
- **one** (1) NC Cardinal Online Signature Page with required signatures; 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, administrative "overhead" or indirect costs, 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 records to ensure complete reporting, and retain programmatic and financial records relating to the grant for a minimum of three years from the due date of the final grant report at the end of the Five Year Plan, 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 Purchases and Inventory

Equipment with a unit price above \$5,000 requires advance written approval. 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

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. IMLS logos are available at http://www.imls.gov/recipients/imls_acknowledgement.aspx

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. Trafficking in Persons

Grantees must comply with 22 U.S.C. § 7104(g) which prohibits engaging in trafficking in persons, procuring a commercial sex act, or using forced labor.

13. 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