

**LSTA HISPANIC SERVICES PROJECT GRANTS
2002-2003
Information & Guidelines**

LSTA Goal # 2

Every North Carolinian has ready access to public library services that meet a consistent level of quality statewide.

Objective 2.3

Public libraries provide appropriate services and resources for North Carolina's rapidly increasing Hispanic community.

What is this grant program and its purpose?

The Hispanic Services Project Grants are intended to help librarians implement library services for their Hispanic communities based on the results of a completed needs assessment and planning effort. The grant program is designed to build on the content developed for the May 2000 and April 2001 Hispanic Services Workshops. These workshops covered the provision of effective library services for Hispanic communities through needs assessment, community connections, access to appropriate resources, and staff development as well as the marketing and evaluation of services. An overview of the content of those sessions is in the document *Designing Library Services for Hispanic Communities* (available on the Hispanic Services Project web page at URL <<http://statelibrary.dcr.state.nc.us/hispanic/index.htm>>).

Libraries should evaluate their readiness to apply for these grants by asking several questions:

- *Have we already established connections with the Hispanic community and organizations that represent them? Conducted a needs assessment to gather more information about our Hispanic community and its library and information needs? Revised our library services plan to reflect those needs?*
If you cannot answer "yes" to all three of these questions, then consider applying for a planning grant in 2002-2003 to carry out these preliminary activities before requesting funds to develop programs and services.
- *Does my library only want to apply for additional money for library materials to expand our Spanish-language materials collection?*
If you answer "yes" to this question, then you should not submit an application for this grant program. Acquisition of library materials *per se* should not be the primary purpose of the project. If library materials are purchased, then the materials should support the programs and services that are the project's main focus.

These grants are in a category called "Local Project Grants" in the policies and procedures outlined in *Library Services & Technology Act Plan for Implementation in North Carolina*, posted on the State Library's web page at URL <<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>. The grant process has two steps aimed at saving time and other resources for those libraries that may not be competitive for an Internet Infrastructure Improvement Grant in this round.

Step #1: Letter of Intent: Libraries interested in receiving a grant must have submitted (by the December 20, 2001 due date) a “Letter of Intent” that answers certain basic questions designed to determine whether the library is eligible to receive the grant and meets certain basic criteria. State Library staff and the LSTA Advisory Committee review the Letters of Intent and the LSTA Advisory Committee determines which libraries are authorized to submit a full application.

Step #2: Full Grant Application: Those libraries that receive authorization are invited to submit a full application with a project plan and budget. Libraries will be notified January 15, 2002; applications will be due March 27, 2002. State Library staff, external reviewers, and the LSTA Advisory Committee will review the applications and make recommendations to the State Librarian regarding funding.

This grant program is intended to help achieve Goal # 2, Objective 2.3 of the *Library Services & Technology Act Plan for Implementation in North Carolina, January 2000* (see URL <http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>).

**A NOTE ABOUT COLLABORATIVE PROJECTS AND/OR
PROJECTS REQUIRING ADDITIONAL PLANNING**

The time to prepare the Letter of Intent is limited. If your library has not developed community partnerships and/or does not have a clear concept and plan already outlined to enable you to prepare a well-crafted Letter of Intent, the State Library encourages you to consider applying for a planning grant for 2002-2003. You would then be well positioned to apply for a grant in 2003-2004. Several planning grant formats will be available during the upcoming year, and full information will be available in January 2002.

Who may apply?

Public library systems that qualify for the Aid to Public Libraries fund are eligible to apply for these grants. *Only libraries that submitted a Letter of Intent by December 20, 2001, and received authorization to submit a full application are eligible to apply for a Hispanic Services Project Grant.*

Public libraries are encouraged to involve collaborative partners including other libraries, public agencies, or community organizations. For projects that involve collaboration, only one partner may apply for the grant. That public library will be the lead organization for the grant, responsible for administering the grant funds.

Eligible public library systems can submit one application for a Hispanic Services Project Grant. *[Definitions: A library system is inclusive of all outlets making up that system (e.g. Nantahala Regional Library)].*

What amount of funds may be requested?

The maximum grant request is \$50,000 unless the project is a collaborative effort of multiple eligible library systems in which case the maximum grant request is \$100,000. The minimum grant request is \$5,000. Any amount over \$50,000 (or \$100,000 for a multi-library collaborative project) that is required to accomplish the project is the responsibility of the lead library and partners.

Are local matching funds required?

Yes. Hispanic Services Project Grant budgets must include local matching funds.

- The local **cash** contribution to the project must equal a minimum of 10% of the amount of federal funds requested. The match is a 1 to 10 ratio of matching funds to grant funds. If the grant amount requested is \$25,000, the local match must be at least \$2,500, and the total project cost will be \$27,500 (\$25,000 grant funds + \$2,500 local funds).
- All of the match must be cash from local or state funds or funds from non-governmental agencies (e.g., foundations, service clubs, partner organizations). Other federal funds and local administrative overhead costs may not be used as local match.
- Matching funds must be available at the time a funded library signs the grant agreement.

No expenditures of either grant or local matching funds may be made until the library receives the final executed grant agreement signed by lead library representatives and the State Librarian.

How may the project funds be used?

The project will provide funds for activities that implement library programs and services for the Hispanic community based on local needs assessment data and planning.

Project funds are to be used for necessary and appropriate costs to achieve the project's objectives. The proposal must clearly state how proposed expenditures were determined and why each is needed to achieve project outcomes.

Possible expenditure categories and definitions are listed below.

- *Equipment.* The costs for equipment and furniture (if any) to be purchased and used by the project are covered in this category. Examples include audiovisual equipment, computers, printers, fax machines, file cabinets. Include only items with a useful life of at least one year and an acquisition cost of \$500 or more. Small equipment items that do not meet this definition should be shown in the "Other Expenses" category. [Note: The State Library does not encourage purchase of furniture unless it is critical to the success of the project.]
- *Library Materials.* This category includes costs for books, periodicals, newspapers, documents, pamphlets, photographs, reproductions, microforms, pictorial works, graphic works, musical scores, maps, charts, globes, sound recordings, processed video tapes, computer software, and materials designed specifically for the handicapped.

For a Hispanic Services grant, the acquisition of library materials *per se* should not be the primary purpose of the project. If library materials are purchased, then the materials should support the programs and services that are the project's main focus.

- **Salaries and Benefits.** Show salary and wages to be paid to each person (temporary only) employed for the project. An explanation of the total commitment of time and the salary to be charged for each member of the project staff should appear in the program narrative. Benefits should be shown separately from each salary. Fees and expenses for consultants should be included under Contractual Services.
- **Contractual Services.** This category should include costs for specific services to be performed by an outside organization or individual under contract. Examples include consultant fees, rentals, advertising, and honoraria for speakers. Applicants should be able to show in the application that proposed contractors are qualified to perform the work or service.
- **Supplies.** Include costs for project supplies such as paper, tape, pencils, and computer supplies. Also includes postage and printing costs.
- **Other Expenses.** Include in this category costs for any other justifiable expenses needed to implement the project but which do not fall under the prior categories. Examples include small equipment items costing less than \$500, or travel (mileage, lodging, meals) associated with the project.

Ineligible expenses:

- LSTA grant funds may **not** be used for entertainment costs.
- LSTA grant funds may **not** be used for “overhead” or indirect costs.

What is the basis for selecting projects for funding?

To be eligible for consideration, a library must have submitted a Letter of Intent, have been authorized to submit a full application, and have submitted a full application that is received by the deadline of 5:00 p.m. March 27, 2002.

Proposals must clearly and explicitly cover the following factors and meet the following criteria, which will guide funding decisions among the eligible applications:

I. Supports the LSTA Plan

The proposed project must both reflect an understanding of and move North Carolina toward the vision, goal and outcome that are the basis for this Hispanic Services grant program:

- Vision: *Every North Carolinian has ready access to public library services that meet a consistent level of quality statewide.*
- Objective 2.3: *Public libraries provide appropriate services and resources for North Carolina’s rapidly increasing Hispanic community.*

II. Reflects Principles in Designing Library Services for Hispanic Communities

Proposals must demonstrate that the library’s plan for serving the Hispanic community has been developed in a manner consistent with the information presented in the workshops on Hispanic services as reflected in *Designing Library Services for Hispanic Communities* (available at <<http://statelibrary.dcr.state.nc.us/hispanic/index.htm>>), including but not limited to:

- A well designed needs assessment that uses both qualitative information (e.g., the result of interviews, focus groups, and meetings with key groups) and quantitative data (numerical/statistical);
- A clear understanding of the demographic characteristics of the Hispanic population in the library's legal service area;
- Involvement of representatives of the Hispanic community in the library's needs assessment and planning effort;
- Development of proposed services and programs based on the results of the needs assessment and the advice from the Hispanic community;
- A commitment by the library leadership to the long-term development of services to the Hispanic community and integration into the overall program of the library; and
- An effort to achieve the key elements in the "Success Checklist" on page 16 of *Designing Library Services for Hispanic Communities*.

III. Outlines a Clear, Well-Articulated Project Plan

The proposal must clearly articulate a well-crafted plan that sets the stage for successful project implementation and evaluation. The plan must include the following elements:

- **A documented community need**

The proposal must clearly give convincing reasons why the proposed project should be funded. Define the **community need or problem** by highlighting the change that should occur in programs or services from the perspective of the **target audience**, not the library.

Describe the process that was used to assess the needs of Hispanic members of the library's community. How many people provided information or opinions to the assessment? Who conducted the assessment, and when was it done?

Use relevant data (i.e., qualitative and quantitative data) from your needs assessment to support the identified need, including information about the process you used and the sources of your information. (Remember that there must be **documented need**.) Make certain that the problem or need is of reasonable dimensions.

- **A clear goal**

The grant application must contain a clear goal that is appropriate for the project. If the library has community partners in the project, indicate how they were involved in development of the goal statement.

A well-written goal statement:

- Describes an ideal condition or state that is based on the defined need and appropriate in meeting the need or solving the problem;
- Is short, concise and clearly stated in a declarative sentence;
- Is stated in terms of what the public will gain; and
- Provides a framework for the project objective(s).

- **Specific, measurable objective(s)**

The objective(s) of the project is central to the plan because it provides a clear, specific outcome that determines the activities, budget, and evaluation. Be careful to limit the number of outcomes you are seeking. A well-crafted objective moves the library closer to the goal and meets the following criteria:

- Is based on the defined need and clearly defines success in meeting that need in measurable terms;
- Is stated as an outcome (what change will take place by when) and **not** as why (which is in the need) or how which is the activity;
- Is measurable (i.e., defines success in a way that can be evaluated); and
- Is clear and brief.

- **A realistic, clear action plan**

The Action Plan describes the specific activities that the partnership will undertake to achieve the defined outcome. The Action Plan must:

- Clearly describe the program activities;
- Outline the sequence of activities with a timetable;
- Be reasonable in scope, meaning that it can be implemented within the time and resources of the project;
- Be stated in measurable terms (i.e., specifies the number and types of programs, services, and resources);
- Be appropriate for the target audience, need, and objective(s);
- Describe staffing, specifying duties and any special qualifications;
- Identify program resource people from the library or from partner agencies who will contribute, and include a clear statement about why they are both needed and well-qualified;
- Provide adequate time and other resources for staff and appropriate members of the Hispanic community to participate in the proposed activities; and
- Include appropriate methods of publicizing the project to the target audience and others involved with the target audience.

- **A well developed budget**

The budget for the project must:

- Be appropriate to the plan outlined in the proposal and clearly linked to that plan;
- Explain the basis for all projected expenditures and the basis for the estimates with no unexplained, miscellaneous, or contingency amounts;
- Budgeted amounts are reasonable;
- Salaries and benefits are detailed separately;
- Includes information about any proposed consultants and other contractual services;
- Relates any travel expenses to the project plan;
- Excludes all disallowed expenditures;
- Meets local match requirements.

- **An effective evaluation**

Because the language of the law establishing LSTA requires increased accountability for grantees, an effective evaluation is essential. The evaluation must present an achievable plan for determining the success of the project in closing the gap defined in the needs assessment and objective(s). An evaluation plan will be judged effective if it:

- Presents a practical plan for determining whether or not the project met the stated objective by the end of the grant period;
- Tells who will be doing the evaluation and why they were chosen;

- Clearly states the criteria for success; and
- Describes how the data will be gathered and analyzed—both qualitatively (testimonials, stories, and anecdotes) and quantitatively (numerical/statistical);
- Indicates the baseline data that will be used as the basis for measuring the extent to which the project is successful in achieving its proposed outcome(s).

IV. **Community partners**

Collaborative partnerships can help strengthen the project and build community support and involvement. If the project is a collaborative one, the proposal should identify any additional community agencies that will be involved. In addition to the proposal itself, the chief executive of each partner agency must write a “Partner Commitment Letter” that demonstrates the organization’s support for the collaborative partnership and the proposed project. The letters should be written by that individual and should not be a pro forma letter. The contents will be used to evaluate the collaborative partnership and should, at a minimum, clearly provide:

- A brief description of the partner organization and the reasons for their interest in the project;
- The role that the partner organization and its representatives played in planning the project, including the needs assessment and determination of the project focus and specific outcomes;
- The way(s) in which the partner organization will be fully involved, including shared authority and decision-making; and
- The financial and other contributions of the organization.

V. **Ability to Pay and Local Effort**

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*. Those are:

- The relative resources available to fund library services from local government—that is, the per capita local tax base will be used as a measure of its **ability to pay** for services locally.
- The relative **local effort** in supporting library services—that is, per capita support of a public library.

The data is based on information compiled and analyzed by the Public School Forum of North Carolina in their publication *2001 North Carolina School Finance Study* (Public School Forum of North Carolina, 2001) and from *Statistics & Directory of North Carolina Public Libraries—July 1, 2000-June 30, 2001* (State Library of North Carolina, 2001).

What is the review process?

- Letter of Intent: Libraries interested in receiving a Hispanic Services Project Grant must submit by December 20, 2001, a brief “Letter of Intent” which explains the project concept and will indicate whether the library is eligible.
- State Library staff and the LSTA Advisory Committee will review the Letters of Intent and the LSTA Advisory Committee will determine which libraries are authorized to submit a full application. Libraries are notified by January 15, 2002.

- Full grant applications must be received in the State Library's Library Development Section Office (Room 210, Archives & State Library Building) by 5:00 p.m. March 27, 2002, to be eligible for review.
- Only **complete** applications from eligible institutions (those authorized to submit a full application) will be reviewed.
- Eligible applications will be reviewed and evaluated by State Library staff and the Hispanic Services Advisory Committee 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.
- Since the LSTA Advisory Committee reviews all LSTA Local Project Grants and makes funding recommendations, no appeal is available.
- Announcement of funded applications will be posted to the State Library's web site (at URL <<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>) by the July award announcement date.
- No project funds (grant or matching dollars) may be encumbered or expended until library representatives and the State Librarian sign the grant agreement.

How are grant payments made?

Grant funds 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 a quarter, at a minimum. This ensures an even flow of grant payments. This process also assists the Department of Cultural Resources in managing its monthly allocations from the state.

By the postmark date of April 15, 2003 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, 2003. At the same time grantees must also estimate the remaining grant expenses that will be claimed; these expenses will be paid after June 30.

July 15, 2003 is the final deadline for grant payment/reimbursement requests to be received or postmarked. The State Library will complete all payments by August 30, 2003.

The State Library understands that costs of computer equipment change rapidly. If the proposed equipment is purchased for less than the grant award amount, the library must obtain State Library approval to use the balance of the grant funds. The State Library does not guarantee approval for additional purchases in order that all grant funds can be used.

What reports must grantees make?

As part of the evaluation process for this grant program, all grant recipients must complete a report on the grant. It will be due to the State Library by September 30, 2003. The report will include a summary of project expenditures and a narrative describing the extent to which the project achieved its purposes and made a difference for the targeted users. The State Library will provide a form for the grant report.

What else do applicants need to know?

Because these grants are from federal funds administered through a state agency, all grantees must adhere to required federal and state provisions. (See **Grant Provisions**, page 12.) Please read these carefully.

Grant program timeline:

These are the deadlines that apply to the 2002-2003 Hispanic Services Project Grants.

November 27, 2001	Letter of Intent (LOI) announcement for Local Project Grants; Guidelines and LOI application available at URL http://statelibrary.dcr.state.nc.us/lsta/lsta.htm
December 20, 2001	Letters of Intent due by 5:00 p.m. *
January 15, 2002	Notification of authorization to submit full application; full application form available at URL http://statelibrary.dcr.state.nc.us/lsta/lsta.htm
March 27, 2002	Applications due by 5:00 p.m. *
July 10, 2002	Announcement of funded projects
July 2002 – June 30, 2003	Grant project implementation period
October 15, 2002	Postmark deadline for first grant reimbursement request
January 15, 2003	Postmark deadline for second grant reimbursement request
April 15, 2003	Postmark deadline for third reimbursement request; a minimum of 75% of grant amount must be requested by this deadline. Also due: estimate of any grant balance that will be claimed after June 30.
June 30, 2003	Date by which all project funds must be spent
July 15, 2003	Final date to submit reimbursement request for balance of grant
August 30, 2003	State Library completes grant payments
September 30, 2003	Final report due to State Library

* Must be received in the State Library's Library Development Section Office, Room 210 Archives & State Library Building.

Instructions for preparing and collating your full application:

Your final application is one of many that reviewers will read. (Some State Library staff reviewers read over 200 applications.) Following these instructions will make it easier for reviewers to read and digest your proposal:

- Use an 11-point font size or greater and margins at least 1” on all sides. Concise wording is best.
- Repeat questions and question numbers from the application form, but do not repeat explanatory information.
- Copy your pages back-to-back on plain white paper.
- Use a header or footer, with a single page numbering system, throughout the whole document except for the State Library's initial signature page. Handwritten page numbers on attachments are acceptable.
- Any supplemental information or attachments should follow the completed application form.
- If you append any material not specifically requested in the application, be judicious in how much you include. Provide extracts of long documents. Reviewers can pay more careful attention to applications that are concise and supporting materials that are directly relevant.

Where do I apply?

Completed application forms should be sent to the address below. Send 26 copies of your full application, including one with original signatures in blue ink. All applications must be received in the State Library’s Library Development Section Office (Room 210, Archives & State Library Building) by 5:00 p.m. on March 27, 2002.

Delivery by US Postal Service:	Delivery by commercial service (e.g. FedEx), or hand delivery: RECOMMENDED
LSTA Grant Applications	LSTA Grant Applications
Library Development Section	Library Development Section, Room 210
State Library of North Carolina	State Library of North Carolina
4640 Mail Service Center	Archives & State Library Building
Raleigh, NC 27699-4640	109 E. Jones Street
	Raleigh, NC 27601

Warning: To be considered, applications must be received in the Library Development Office by the 5:00 p.m. March 27, 2002 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 and Mail Service Center address (even Express Mail) frequently encounter delivery delays, and the US Postal Service does **not** deliver to the Jones Street address. Any application not received by the deadline will not be eligible for consideration.

For further information contact:

Penny Hornsby or Jeanne Crisp, State Library of North Carolina, Library Development Section; telephone: 919.807.7420; or e-mail: phornsby@library.dcr.state.nc.us or jcrisp@library.dcr.state.nc.us

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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, underrecovery 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 three years from the due date of the final grant report.

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).

8. Equipment and Inventory

Equipment with unit price above \$500 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. Publications and Presentations

Grantees are expected and encouraged to publicize projects in available and appropriate media outlets. Public relations releases concerning the project, or any publications or materials produced as a part of the grant project, must include the following statement: "This project is ____% supported with federal LSTA funds made possible through a grant from the Institute of Museum

and Library Services, 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.

12. Audit Requirements

Grant funds must be audited in compliance with state and federal audit requirements for local governments and public authorities, institutions of higher education, and non-profit organizations, and, as applicable, according to the standards of the Single Audit Act of 1984 as amended 1996.

SOURCE DOCUMENTS:

General Statute 143-6.1 and applicable prescribed requirements in the Office of the State Auditor's Audit Advisory #2 "Rewrite of G.S. 143-6.1 entitled "Nonprofits State Funds Accountability Act -- Reports on the Use of State Funds by Non-State Entities" including its attachments.

Office of Management and Budget (OMB), Circular A-87 Revised, ("Cost Principles for State, Local, and Indian Tribal Governments").

OMB Circular A-21, ("Cost Principles for Education Institutions").
OMB Circular A-122, ("Cost Principles for Non Profit Organizations").

Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; Section 6101 of the Age Discrimination Act of 1975; The Americans With Disabilities Act of 1990; subject to certain exceptions, Title IX of the Education Amendments of 1972.

Code of Federal Regulations, 31 U.S.C. Section 1352 (certification regarding lobbying).

Code of Federal Regulations, 45 CFR Part 1183, ("Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments").

OMB Circular A-133 Revised, ("Audits of States, Local Governments, and Non-Profit Organizations").