

State Library of North Carolina

LSTA INTERNET INFRASTRUCTURE IMPROVEMENT GRANTS 2002-2003 Information & Guidelines

What is this grant program?

LSTA Internet Infrastructure Improvement Grants are available in 2002-2003 to help achieve two objectives (1.2 and 2.2) in North Carolina's plan for implementing the Library Services and Technology Act: making certain that public and academic libraries in North Carolina have the appropriate physical infrastructure enabling them to provide access for their users to the Internet and online content, including NC LIVE resources, North Carolina ECHO, and StartSquad.org.

Projects will implement or develop technological infrastructure solutions to problems or issues that hinder the library's ability to provide optimal user access to the Internet and online content, such as NC LIVE resources, North Carolina ECHO, and StartSquad.org. Examples include: systems to manage access to workstations or printing; hardware and software to improve network and user security; special equipment for training or demonstrations; and improvements in the library's telecommunications infrastructure for increased bandwidth capacity.

This grant program is to assist libraries in upgrading the infrastructure that supports user access to networked information. It is not designed to expand the services that use the infrastructure, such as developing online content or providing virtual reference services.

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.

Who may apply?

The following libraries are eligible to submit a Letter of Intent: public libraries that qualify for grants from 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 the North Carolina School of Science and Mathematics), libraries serving the member institutions of North Carolina Independent Colleges and Universities, and the State Library of North Carolina. *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 an Internet Infrastructure Improvement Grant.

Only one Internet Infrastructure Improvement Grant may be submitted by an eligible library system or academic institution. *[Definitions: A library system is inclusive of all outlets making up that system (e.g. Nantahala Regional Library). An institution is the parent institution of the library (e.g. UNC-Greensboro)].*

What amount of funds may be requested?

The maximum grant request is \$100,000; the minimum grant request is \$5,000.

Are local matching funds required?

Yes. Internet Infrastructure Improvement Grant project budgets must include local matching funds.

- The local **cash** contribution to the project must equal a minimum of 25% of the amount of federal funds requested. The match is a 1 to 4 ratio of matching funds to grant funds. Example: If the grant amount requested is \$20,000, the local match must be at least \$5,000, and the total project cost will be \$25,000 (\$20,000 grant funds + \$5,000 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). 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 library representatives and the State Librarian.

How may the project funds be used?

Internet Infrastructure Improvement Grant project funds are to be used to improve the library's Internet access infrastructure. This includes the purchase of equipment, software, one-time installation expenses, and other necessary elements essential to improving a library's ability to provide optimal user access to the Internet and online content. The proposal must clearly state how each proposed expenditure was determined and why it is needed to achieve project outcomes.

Allowable purchases may include:

- **Computer hardware and other related equipment** (e.g., LAN servers, proxy servers, public access workstations, memory, storage, routers, hubs, switches, firewalls, peripherals {e.g., printers, modems}).
- **Computer furniture.**
- Basic **operating and communications software** and related utility software to access the Internet and online content. Separate applications software is an eligible expense if it is justified as an integral piece of the solution being implemented.

- **Security software, including antivirus and firewall software, and "technology protection measure" software compliant with the Children's Internet Protection Act (CIPA).**
- **Handicapped accessible** computer hardware, software, and furniture.
- **Equipment and software to support training** library staff and users to use the Internet and NC LIVE (e.g., projectors, notebook computers, presentation software).
- One-time expenses such as **installation** of telecommunications devices and equipment.
- **Other expenses** justified by the solution.

All purchases **must meet or exceed** the "Minimum Specifications for New Purchases" and applicable standards set by the State of North Carolina Information Resources Management Commission (IRMC) and Information Technology Services (ITS) [see page 11].

This grant program is **not** intended to help replace or upgrade integrated library automated systems. Reviewers will carefully scrutinize projects that propose to add modules of automated systems as solutions; the module must be a critical and appropriate means to achieving adequate access to the Internet and NC LIVE resources for users.

Ineligible expenses:

- Equipment for placement in a facility that does not meet the definition of an eligible library as defined in North Carolina's LSTA Plan (see page III-3 of *Library Services & Technology Act Plan for Implementation in North Carolina* at URL <<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>). "Virtual libraries" without qualified staff established to meet the needs of distance learners do not meet this definition.
- These grants will **not** fund content, e.g. licensing or purchase of databases or internally accessible resources.
- **On-going costs** will not be allowable project expenses (e.g., monthly Internet Service Provider [ISP] fees, annual software licensing).
- **Add-on or separate applications software** (other than security software and "technology protection measure" software) is an eligible expense **only** if the software can be justified as an integral piece of the infrastructure solution being implemented.
- 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. All proposed purchases must meet or exceed the "Minimum Specifications for New Purchases" and applicable standards set by the State of North Carolina IRMC and ITS [see page 11].

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

I. Need & Impact on Infrastructure for User Access:

- The library must clearly document the problems with the current infrastructure and how, and the extent to which, those problems affect the quality of user access to the Internet and other online content. The library must demonstrate that there is a significant problem.
- The proposed solution must be appropriate to the problem and must provide measurable improvements in management or service.

- The proposed expenditures must be reasonable and appropriate to the solution.
- The extent to which a library currently meets the adequacy standards for minimum numbers of user Internet workstations and recommended bandwidth may be factors in determining priority for funding. See pages 9 and 10 for more information.

II. Readiness:

The library must show adequate planning and preparation for the proposed project, including any alternative solutions evaluated and evidence that the proposed solution is reasonable and realistic.

- The library has a Technology Plan and the project solution is linked to objectives of that technology plan.
- The library has conducted an assessment of internal and external networking and telecommunications environment and has developed an appropriate network plan with diagrams with necessary hardware, software, wiring, and telecommunications connections.
- The library has in place plans and procedures to provide technical support to assure that the components of the library's infrastructure function properly.
- If appropriate to the project, and/or required by local purchasing policies, the library has developed a Request for Information (RFI) or Request for Proposal (RFP) that will be issued to obtain the desired hardware and software.
- A strategy for staff training is planned or in place. The strategy should insure that staff have the necessary skills to effectively use Internet resources and to assist patrons to use Internet resources effectively. Strategies should further insure adequate training to effectively use the resources and products provided by the grant project.

III. Local Commitment:

- The library must contribute the required local matching funds.
- The library must be able to pay ongoing telecommunications and other support costs for the project.
- In order to receive a grant, a library must have an approved Acceptable Use Policy in place for user Internet access.
- In order to receive a grant, a library or its parent institution or governing body must have an approved policy in place to assure that computer workstations are replaced at three-to-five-year intervals.

These grants are designed to assist libraries in obtaining appropriate physical infrastructure enabling them to provide optimal access for their users to the Internet and online content; future upgrades and replacement of equipment and products are a local responsibility. In future years, the State Library will include a library's history of grants as a factor in evaluating grant applications that request funds to support related purchases. Funds will not be awarded to *replace* equipment purchased with prior grant funds.

IV. 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 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 its **ability to pay** for services locally.
- 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.

The data is from the following sources:

- For public libraries, 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).
- For community colleges, the average annual FTE is from the subtotal columns of Table 26 “Annualized Average Annual Full-Time Equivalent (FTE)” in the *2000-2001 Annual Statistical Reports* (North Carolina Community College System, 2001).
- For public and private colleges and universities, FTE data are those collected for IPEDS and NCHEDS with the following definition: *For institutions of higher education, enrollment of full-time students, plus the full-time equivalent of part-time students as reported by institutions. In the absence of an equivalent reported by an institution, the FTE enrollment is estimated by adding one-third of part-time enrollment to full-time enrollment. This data element includes only resident-credit enrollment in courses basic to or creditable to a bachelor’s or higher degree.*
- For all the post-secondary institutions, the Education and General Expenditures and library operating expenditures are from unpublished data collected from each institution for the Integrated Postsecondary Education Data System (IPEDS). Library operating expenditures are from IPEDS data submitted by the institutions and published in the *Statistical Abstract of Higher Education in North Carolina 2000-2001* (The University of North Carolina, 2001).

The State Library is aware that the data for the post-secondary institutions must be viewed in the broader context of institutional mission, degree programs, and other factors. The analysis of “Ability to Pay” and “Local Effort” indicators may include consultation with appropriate officials at The University of North Carolina, the North Carolina Community College System, and North Carolina Independent Colleges and Universities.

What is the review process?

- Letter of Intent: Libraries interested in receiving an Internet Infrastructure Improvement 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 review the Letters of Intent, and the LSTA Advisory Committee determines 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 external 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.
- 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 descriptions and measures of the grant's impact on user access to the Internet and online resources. The library's application will identify the methods and measures for determining effectiveness of the project. 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 13.) Please read these carefully.

Grant program timeline:

These are the deadlines that apply to 2002-2003 Internet Infrastructure Improvement 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, Federal Programs Consultant, State Library of North Carolina, Library Development Section; telephone: 919.733.2570; or e-mail: *phornsby@library.dcr.state.nc.us*.

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MEASURES OF NEED FOR INTERNET INFRASTRUCTURE IMPROVEMENT GRANTS

USER ACCESS TO THE INTERNET

To establish priorities for the Internet Infrastructure Improvement Grant, the following levels of access have been established to assist grant reviewers in determining those libraries with the highest need. The objective of the grant program is to improve in-library access for users to information resources available through the Internet, including NC LIVE, North Carolina ECHO, and StartSquad.Org.

Equipment purchased under this grant program may only be placed in facilities that meet the definition of a library in North Carolina's LSTA Plan (see page III-3 of *Library Services & Technology Act Plan for Implementation in North Carolina* at URL <<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>). In order to meet this requirement and serve the needs of distance learners, libraries are encouraged to collaborate with other libraries. Funds may be used to buy equipment that will be placed in a partnering library.

Applications will be evaluated based on the total number of computer workstations available to users in an academic library or a public library system—not on the basis of the number of workstations in a single facility. Decisions about the allocation of workstations among library facilities is a local management decision.

Academic Libraries

Establishing the number of workstations that should be available for in-library use in academic institutions is a complex issue, driven by a number of factors (e.g., number of workstations available in computer labs and through other means on campus; information resources provided by the institution and its libraries; the mission and academic programs of each institution; and other plans to provide student, faculty, and staff access to electronic information resources).

These measures have been set by the State Library to assist in establishing minimal levels of user access and need for the purposes of this grant program only. Planning at individual institutions should be based on campus-wide technology planning and factors appropriate for that campus.

Type of Library	Minimum Number of In-Library Workstations
Community college libraries, UNC system libraries, and independent academic libraries.	A minimum of 5 workstations, or 1 workstation per 100 FTE Students ¹ whichever is higher.

¹For libraries serving community colleges, the number of FTEs reflects:

- *Average Annual Full-time Equivalent (FTE)*: This is the data collected by the North Carolina Community College System and represents the FTE for students enrolled in curriculum and regular budget extension programs. This is the figure that the staff at the Community College System recommended be used as the most accurate indicator because so many of their FTE are not enrolled in courses that lead to a bachelor's degree.

For libraries serving institutions that are part of the UNC system and for independent colleges and universities, the FTE numbers are those collected for IPEDS and NCHEDS with the following definition:

- *For institutions of higher education, enrollment of full-time students, plus the full-time equivalent of part-time students as reported by institutions. In the absence of an equivalent reported by an institution, the FTE enrollment is estimated by adding one-third of part-time enrollment to full-time enrollment. This data element includes only resident-credit enrollment in courses basic to or creditable to a bachelor's or higher degree.*

Public Libraries

The North Carolina Public Library Directors Association's (NCPLDA) *Guidelines for North Carolina Public Libraries 1998* (see URL <<http://statelibrary.dcr.state.nc.us/ncplda/guidelines.htm>>) identifies technology standards that include provision of public access to the Internet at each library location and at least one user workstation per 2,500 legal service population.

The State Library supports those measures as appropriate goals; however, for the purposes of this grant program in 2002-2003, the following measure will be used to help in setting priorities for funding and to assist libraries in moving toward the NCPLDA standard:

Type of Library	Minimum Number of In-Library Workstations
Public libraries	1 workstation per 5,000 legal service population ¹

¹ For public libraries the population of legal service area, as defined in *Output Measures for Public Libraries, A Manual of Standardized Procedures* (American Library Association, 1987), is the number of people in the geographical area for which a public library has been established to offer services and from which (or on behalf of which) the library derives income, plus any area served under contract for which this library is the primary service provider.

GUIDELINES FOR CONNECTIVITY AND BANDWIDTH

Libraries with one to four workstations may find dial access to the Internet acceptable. Library outlets with more than four workstations should operate a LAN with high-speed, dedicated Internet access.

Local bandwidth needs may vary depending on specific applications and usage. Any contract for services should include a provision for upgrade to higher bandwidth as network performance requires.

The following table suggests minimum levels to consider:

# Workstations	Bandwidth Guidelines
5 - 9	56k
10 - 15	128k
16 - 19	256k
20+	T1

MINIMUM SPECIFICATIONS FOR NEW PURCHASES

I. Workstations for user Internet access

Hardware Specifications for New Purchases	
	11/08/01
Component	Minimum
CPU	1.7 GHz Pentium IV or equivalent
RAM	256 MB
Hard Disk	40 GB
Floppy Disk	3.5" high density (1.44 MB)
Optical Drive	CD-ROM or CD-RW or DVD
Video Display Card	32 MB video display card
Monitor	SVGA 17"
Modem OR Network Card	56 Kbps* or Network adapter appropriate to the LAN environment * Buyers should check with their Internet service provider (ISP) to make sure the modem is what the ISP recommends.
Printer	ink-jet or laser 600 dpi black & white or 2400 x 1200 dpi color

These specifications were adopted by the State Library of North Carolina on November 8, 2001, for purchases under the 2002-2003 LSTA grant program.

II. Access

- **Internet protocol.** All connections must implement TCP/IP, Telnet, File Transfer Protocol (FTP), Simple Mail Transfer Protocol (SMTP) and Format of Electronic Mail Messages. Dedicated connections must also implement Simple Network Management Protocol. (Per Technical Architecture Documentation of the State of North Carolina Information Resource Management Commission (IRMC) and Information Technology Services (ITS) Distributed Computing Standards and Guidelines, Wide Area Network Service devices connected to the WAN must be manageable by SNMP.) (See URLs: <<http://irm.state.nc.us/techarch/>>and <http://dcs.its.state.nc.us/DCS/Standards/standard.asp>>.)
- **Browser.** All new workstations must provide Internet access through a graphical HTTP/1.0 or higher browser. All existing workstations must provide Internet access through a graphical user interface (GUI) HTTP/1.0 or higher browser, if this is possible with existing network hardware and software and the addition of browser software; if not, existing workstations must provide Internet access through a text-based HTTP/1.0 or higher browser if there is a

plan in place to migrate to graphical user interface.

- **Bandwidth.** All connections must have guaranteed availability of bandwidth. Dedicated lines must have at least 56 Kbps available to the library at all times.
- **Dial-up.** Dial connections must be equipped by both the library and the provider to handle connections of at least 56 Kbps, regardless of the expected performance of the telephone line. Internet providers must guarantee service equivalent to a connection on 95% of connection attempts during the period 9 a.m. to 9 p.m. daily.
- **Addressing.** Each Internet workstation must have an Internet address that is used only by the public library and its users, a critical element for access to NC LIVE resources. All Internet addresses must be resolvable to a fully qualified domain name through a Domain Name System.
- **Availability.** Internet workstations must be available for the direct use of library users during all open hours of the library location.

III. *Networking*

- **Wiring topology, hubs, and switches.** See State of North Carolina IRMC Technology Architecture, and ITS Technical Documentation, *Wiring Topologies and Data Link Standards* available via the Internet at URLs: <<http://irm.state.nc.us/techarch/>>and <<http://dcs.its.state.nc.us/DCS/Standards/standard.asp>>.
- **Cabling.** Acceptable cabling is unshielded twisted pair - level 5 data grade (TSB 36) or 62.5/125 Micrometers Graded Index - OFN UL Rating (Fiber Distributed Data Interface - FDDI compatible). See State of North Carolina, State Information Technology Services document *STS 1000 Telecommunications Wiring Guidelines* for additional details available via the Internet at URL: <<http://www.its.state.nc.us/Products/ProductDetails/Cabling/STS1000WiringGuidelines.pdf>>
- **CSU/DSU and routers.** Must meet requirements of library's Internet service provider.

IV. *Security and disaster recovery*

See guidelines set forth in State of North Carolina, ITS Technical Documentation, Disaster Recovery and Security, available at URL: <<http://dcs.its.state.nc.us/DCS/Standards/standard.asp>>.

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").