

State Library of North Carolina – Library Services and Technology Act
EZ MARKETING GRANTS
2006-2007

Information & Guidelines

1. PROGRAM-SPECIFIC INFORMATION & GUIDELINES

1.1. What is this grant program and its purpose?

The purpose of the Marketing Grants program is to aid public and academic libraries by providing funding to help implement all or part of the Marketing/Communication Plan that staff members developed as part of State Library sponsored Marketing Workshops. A marketing grant is also intended to build the marketing and communication skills of staff and to foster the application of these skills in the future. Public or academic libraries applying for the marketing grant must have had a staff member attend both sessions of a marketing workshop in 2003, 2004, or 2005. The Marketing/Communication Plan completed during the workshop will serve as the basis for the proposed grant project.

Applicants are required to submit their Marketing/Communication Plan, which serves as a key component of the grant application. Before a library's application for a Marketing Grant can be considered, that plan will be reviewed. If a library's plan does not meet the stated criteria at Section 1.6 of these Guidelines, the application for funding will not be considered.

For this reason, the State Library strongly encourages you to submit a draft of your plan for review and feedback as soon as possible, but no later than January 18, 2006. Send to Pam Jaskot at pjaskot@library.dcr.state.nc.us. Call (919) 807-7421 if you have any questions.

Definitions of terms used in these guidelines.

- Plan – the library's Marketing/Communication Plan developed as a result of the Marketing Workshops
- Project – the objective(s) and communication strategies from the Plan that the library proposes to implement using EZ Marketing Grant funds.

The Marketing/Communication Plan must support the library's core mission and focus on marketing to the library's primary audience (for an academic institution the students, faculty and staff; for a public library the residents of the legal service area). Projects should have defined objectives and strategies that are focused to a specific service/resource.

The proposed marketing project should market an existing service or program. Marketing grant funds may not be used to *create* a new service, but can be used to *market* a new service.

The proposed project must be based on the library's completed marketing/communication plan. Examples of the types of activities supported with this grant program include:

- media training and coaching;
- graphic design and implementation (e.g., hiring a designer; designing materials, purchasing supplies);
- web design;
- public relations campaign;
- other activities appropriate to promote the service or special program.

The grant program will support the implementation of the *Library Services and Technology Act Plan for Implementation in North Carolina – 2003-2007* (<http://statelibrary.dcr.state.nc.us/lsta/plan2003-07.pdf>).

1.4C Output: Offer library leaders and managers resources, tools, and learning opportunities to help them strengthen their efforts to educate decision makers, opinion leaders, library users, and library non-users about library services and their value.

1.2. Who may apply?

This grant program is open to libraries that meet both of the following criteria:

- One or more staff member(s) attended both sessions of the Marketing Workshops, in 2003, 2004, or 2005.
- The library is an eligible public or academic library:
 - 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 include 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.

An eligible public library system or academic institution may submit only one EZ Marketing Grant Application in this round. *[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)].*

Libraries awarded Marketing Grant funding in previous years are eligible to apply for 2006-2007.

1.3. What amount of funds may be requested?

The maximum grant request is \$25,000; the minimum request is \$2,500.

1.4 Are local matching funds required?

Yes. Marketing Grants require local matching funds.

- The local 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).
- The match may come from any combination of local or state funds or funds from non-governmental agencies (e.g. foundations, service clubs). Federal funds and local administrative overhead costs may **not** be used as match.

- Matching funds must be spent for the same categories of allowable expenses as the grant funds. Exceptions may be allowed in instances where the expense is integral to implementation of the project, but the expense is not allowable with federal grant funds (e.g. entertainment/refreshment costs, paid advertisements, certain promotional or public relations materials). Contact State Library staff to discuss exceptions before submitting final application.

Matching funds must be

- spent during the same allowable expenditure period as the grant funds (see Section 2.8. Grant program timeline); and
- available at the time a funded library signs the grant agreement.

No project funds (grant or matching dollars) may be encumbered or expended until library representatives and the State Librarian sign the grant agreement.

1.5. How may project funds be used?

These grants are intended to help libraries implement all or part of their marketing/communication plan. Expenditures must support the specific communication strategies in the library's marketing/communication plan.

Allowable expenditures

Project funds are to be used for necessary and appropriate costs to achieve the project's objectives.

Note: Promotional materials *may* be allowed with grant funds, but they will receive close scrutiny due to recent guidance from the Institute of Museum and Library Services concerning allowable/unallowable costs of this type using federal funds. Expenditures for production of collateral items (e.g., pencils, mousepads) must support achievement of the project objectives. In order to be covered by LSTA funds, they must be educational or informational in nature, may not simply promote the library, and may not be gifts or souvenirs. Quantities that the library proposes to produce should be fully justified with a clear explanation of the basis for calculating the required quantities, and must be only amounts needed for the project year. Contact Pam Jaskot, State Library Consultant for Communications (pjaskot@library.dcr.state.nc.us; 919-807-7421), for further clarification.

Possible expenditure categories and definitions are listed below. The proposal must clearly state the basis for determining each expenditure, why it is needed, and how it will be used to achieve project outcomes.

- *Equipment.* The costs for equipment and furniture (if any) to be purchased and used by the project are covered in this category. Include only items with a useful life of at least one year and an acquisition cost of \$500 or more. Small equipment items, which 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.*]

Computer workstations for staff are allowable if necessary to carry out the marketing activities. The computers must meet the minimum hardware specifications for new purchases found at <http://statelibrary.dcr.state.nc.us/lsta/HardSpecNewPurc06-07.pdf>.

- *Contractual Services.* Includes costs to contract with an outside organization or individual for special expertise, e.g. a specific deliverable such as graphics. Applicants must provide in

the application adequate information to show that proposed contractors will be 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.

Allowable with matching funds, but **not** grant funds:

- entertainment and refreshments
- paid advertising for any media

Use of LSTA funds for certain allowable purchases may require public libraries or public elementary and secondary school libraries to comply with the federal Children’s Internet Protection Act (CIPA).

These purchases include the following:

- **Computers used to access the Internet.**
- **Other items and services associated with accessing the Internet, including hardware, software, peripherals, network components, and accompanying installation costs. Specific examples include servers; workstations and the components that comprise a workstation; hubs, routers, cabling, modems, and other components of the network infrastructure; operating system software; Internet service provider (ISP) charges; and installation charges.**

Additional information on CIPA, with guidelines and all required forms, is available at <http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>.

Unallowable expenses

Certain expenditures are either inappropriate for this grant program or not allowed under federal regulations. Project funds and matching funds may not be used for the following expenditures:

- library materials for the library’s collection;
- computers for public use;
- salary/benefits for temporary staff;
- construction;
- entertainment and refreshments (except with matching funds)
- paid advertising for any media (except with matching funds)
- activities aimed at influencing the political process;
- activities intended to solicit financial support for the library;
- “overhead” or indirect costs.

See note above regarding promotional materials.

1.6. What is the basis for selecting projects for funding?

These factors determine whether a library's application is eligible for consideration:

- an application must be **received** by the February 22, 2006 deadline.
- the applicant library must have had at least one staff member who participated in the State Library's Marketing Workshops and
- the applicant must have completed a marketing/communication plan with the eight components described in the workshop handout "Building a Marketing/Communication Plan." Before an application can be considered for funding, the State Library must determine that the plan meets the criteria outlined below.

Criteria for a Marketing/Communication Plan

- **Introduction:** a brief statement describing the plan and placing it in context
Criteria: Provides context for the Plan and its focus. Explains why you are proposing this plan, identifies need(s), and includes relevant research and observations that support the need(s).
- **Goal(s):** the big picture.
Criteria:
 - *Describes an ideal condition or state that is based on the defined need and is appropriate in meeting the need or solving the problem described in the introduction;*
 - *Is clearly stated in a declarative sentence; and*
 - *Provides a framework for the project objective(s).*
- **Objective(s):** must be measurable and doable, realistic.
Criteria: The objective(s) tells what you want to accomplish and determines the activities, budget, and evaluation. 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);*
 - *Is measurable (i.e., defines success in a way that can be evaluated); and*
 - *Is clear, brief, and focused.*
- **Positioning Statement:** defines the space you want to occupy in the community's hearts and minds. It must be true, relevant, and powerful. For example, the positioning statement that was the basis for *The very best place to start* campaign: **"The library is your best first stop for expert help in connecting children and teens to learning and discovery."**
Criteria: A brief statement that explains the way the library wants people to think of it. It must:
 - *Differentiate the library from its competition;*
 - *Establish the library's audience;*
 - *State what the library provides;*
 - *Describe what is "exquisitely special" about what the library offers.*
- **Key Message:** What is the most important thing you want people to know? Easy to say and remember, it may lend itself to a tagline or branding statement. It should be something you can say in conversation. It should reflect your positioning statement. For example, "*The very best place to start*" was derived from the original positioning statement.
Criteria: A statement that reflects the main talking point(s) of your plan. Clear, concise.

- **Key Audience(s):** describes who the plan targets.
Criteria: Must target a key audience based on identified needs. Objectives must be tied to the key audience. Research must support the selection of the key audience.
- **Communication Strategies:** outlines how you will accomplish your objective(s).
Criteria: A description of specific steps that you will take to achieve each objective.
- **Evaluation Measures:** explains how you will know what worked and what didn't;
Criteria: Measures must be tied directly to the objectives. Clear connection must be demonstrated between the objectives and the evaluation measures.

Criteria for project proposal:

If the Marketing/Communication Plan meets the above criteria and the proposal is therefore eligible for consideration, the reviewers will use the following factors and criteria to determine the application's priority for funding among eligible applications.

I. Appropriateness of the Implementation Activity

The proposed project must be based on the library's marketing/communication plan and must implement all or part of the marketing/communication plan. The project must be based on a documented, clearly defined need. The project must support the library's core mission and focus on marketing to the library's primary audience (for an academic institution, students, faculty and staff; for a public library, residents of the legal service area).

II. A Clear, Well-Crafted Project Plan

A successful proposal will include:

- a clear explanation and justification for the objectives and communication strategies from the library's marketing/communication plan that the library has selected to implement with grant funds;
- a realistic action plan with timeline;
- a well-developed budget with justification for each expenditure and a clear link to the strategies; and
- an effective evaluation plan that is based on the objectives selected for implementation with this project.

III. Local Commitment

Reviewers will evaluate a library's commitment to the project by reviewing these elements:

- The library is committed to providing the required matching funds, which must be available by the time any grant agreement is signed, and explains the source of the match.
- The library's management supports the plan and its implementation.
- The library verifies that it will provide adequate resources to support the project, including time for staff and appropriate members of the community (trustees, Friends members, etc) to participate in the marketing activities.

See Section 2.1 of these guidelines for additional factors and issues that may be taken into account in the review of all grant proposals and selection of applications for funding.

1.7. For further information about this grant program:

Questions about the Marketing Grants should be directed to one of these State Library staff:
Pam Jaskot, Consultant for Communications at the State Library; telephone, 919-807-7421;
email, pjaskot@library.dcr.state.nc.us , or
Penny Hornsby, Federal Programs Consultant; telephone, 919-807-7420;
email, phornsby@library.dcr.state.nc.us .

2. GENERAL INFORMATION & GUIDELINES

2.1. What is the basis for selecting projects for funding?

In addition to the criteria and priorities listed in Section 1 of the Information & Guidelines for each LSTA grant program, the following criteria also apply:

I. Ability to Pay and Local Effort

In awarding LSTA grants to North Carolina libraries, 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. They are:

- **Ability to pay:** 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 ability to pay for services locally, and
- **Local effort:** 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, or, for a school library, the per capita support or the library operating expenditures as a percentage of the general expenditure for the school.

The data used by State Library staff and reviewers to determine ability to pay and local effort is updated annually. Data for the current year is available at <http://statelibrary.dcr.state.nc.us/lsta/financialfactors0607.htm>.

II. Applicant's LSTA Grant History

Two other issues may be taken into consideration in selecting applications for funding:

- the quality and effectiveness of the applicant's management of prior LSTA grants, and
- if requests exceed available funds, the number and type of grants that a library has received over the life of LSTA and their total dollar value. This will help ensure that more libraries have the opportunity to benefit from LSTA grant funds.

2.2. Do you need a planning grant?

[NOTE: Planning grants are **required** as a preliminary step in two instances.

NC ECHO Heritage Partners Grants: applicants are **required** to have first successfully completed an LSTA Project Planning Grant.

Automated System Grants: applicants proposing to implement a shared automated system for a consortium **must** have first successfully completed a Technology Planning Grant.]

A library may determine that additional planning is needed before they are ready to apply for a grant. If so, a preliminary step may be to apply for one of the LSTA planning grants. These grants, which have no matching requirement, provide some funds to assist with costs of planning activities. There are three categories of planning grants.

- LSTA Project Planning Grants – to help prepare applications for specific LSTA grant programs, providing funds to carry out needs assessments; build collaborative partnerships and develop project plans; assess archival and special collections and create plans for digitizing them.
- Planning Grants – general planning for programs and services, community-based planning for youth services, a building program or library space utilization study, or process analysis.
- Technology Planning Grants – developing a comprehensive technology plan, planning for a new or upgraded automated library system, including development of an RFP.

The State Library offers two cycles for its suite of planning grants. A mid-year 2005-2006 grant (application due November 21, 2005) would allow a library to complete planning activities between January and July 2006 in time to file a Letter of Intent (LOI) in November 2006 for a 2007-2008 project grant. If the Letter of Intent is successful, the library may submit a full application in late February 2007 for a project that would begin in July 2007. Information (guidelines and applications) for mid-year planning grants can be found under "2005-2006 LSTA Grant Programs" at: <http://statelibrary.dcr.state.nc.us/lsta/lsta.htm> .

A library applying and funded for a planning grant in the regular cycle (2006-07 applications due February 22, 2006) would have an allowable planning period of one year, beginning July 2006. With a regular cycle planning grant a library could potentially meet the November 2006 LOI deadline for a 2007-2008 Project grant, however the planning time is likely to be more compressed. A library must consider its own circumstances and capabilities to determine the most appropriate course of action.

A library may not receive the relevant planning grant and the Project grant for which they planned, in the same grant year.

2.3. What is the application and review process?

For Project grant programs (i.e., programs REQUIRING a Letter of Intent):

Project grant programs for 2006-2007 include: Automated System; Innovation; Internet Infrastructure Improvement; Library Outreach Services; NC ECHO Digitization; NC ECHO Heritage Partners.

The grant process for Project grant programs has two steps aimed at saving time and other resources for libraries that are interested in applying for some of the more complex grant programs. It allows the library to determine whether its project concept is eligible and/or competitive.

- **Step #1: Letter of Intent:** A library interested in applying for a Project grant must submit by November 21, 2005 a Letter of Intent (LOI) explaining the proposed project. (The Letter of Intent is a brief application form found at <http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>.) The LOI will be used to determine whether the library is proposing a project that meets the criteria of the grant program. 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 will be notified of authorization by December 20, 2005.

For multiyear projects, the Letter of Intent must identify the intention to apply as a multiyear grant. The LOI must also identify activities that will occur over the life of the project and estimate a budget for the entire project.

- **Step #2: Full Grant Application:** Those libraries that receive authorization are invited to submit a full application with a project plan and budget. Full applications are due February 22, 2006.

For multiyear projects, the full application must include an action plan and timeline for all proposed years, including milestones or checkpoints to demonstrate progress for the full project; an estimated budget for all the years of the project; and, as appropriate, a plan for sustainability.

- To be eligible for review, 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. February 22, 2006.
- 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 outside peer 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 Project grants and makes funding recommendations, no appeal is available.
- Announcement of funded applications will be posted to the State Library's web site (<<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>) by the June 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.

For EZ grant programs (i.e., programs NOT requiring a Letter of Intent):

EZ Programs for 2006-2007 include: Basic Equipment; LSTA Project Planning; **Marketing**; NC ECHO Digitization Starter; Planning; School Library Collection Development; Strengthening Public and Academic Library Collections; Technology Planning.

- To be eligible for review, 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. February 22, 2006.
- Only **complete** applications from eligible institutions will be reviewed.
- Eligible applications will be reviewed and evaluated by State Library staff according to the grant program criteria. State Library Senior Management will make final decisions.
- Procedures for EZ grants allow for appeals of funding decisions. Awards are not final until the appeals process is completed.
- Announcement of funded applications will be posted to the State Library's web site (<<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>) by the June 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.

2.4. 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.**
- **June 30, 2007, is the date by which all project funds (grant and matching) must be spent.**

- 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. Regular reimbursements ensure an even flow of grant payments.
- By the postmark date of April 15, 2007, 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, 2007.
- **July 15, 2007 is the final postmark deadline** for submitting grant reimbursement requests. The State Library will complete all payments by August 30, 2007.

For grant programs that allow purchase of computer equipment:

The State Library understands that costs of computer equipment change rapidly. If 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.

2.5. What reports must grantees make?

As part of the evaluation process for LSTA grant programs, all grant recipients must complete a report on their grant-funded project. It will be due to the State Library by September 30, 2007. 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 a form for the grant report.

To help you develop your plan for evaluation and reporting, please review the type of report you will have to provide. The 2004-05 online report form may be found at URL <http://statelibrary.dcr.state.nc.us/lsta/report0405.htm>.

Non-profit grantees must comply with the requirements of North Carolina General Statute 143-6.2 and the corresponding rules of North Carolina Administrative Code, Title 09, Chapter 03M, "Uniform Administration of State Grants," and the applicable requirements in the Office of the State Auditor's Audit Advisory ADV-2005-001 September 2005, including submission of required financial 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.

2.6. What impact will CIPA have on LSTA grantees?

In Fall 2000, Congress passed the Children's Internet Protection Act (CIPA) establishing certain requirements that affect public and school libraries that use federal funds to support public access to the Internet. One result is that the State Library must assure the Federal Government that affected libraries have Internet safety policies in place and are using technology protection measures, e.g., filtering software technology. This requirement applies to public libraries and public elementary and secondary school libraries that receive LSTA funds to purchase computers for accessing the Internet or to pay for the direct costs of accessing the Internet.

Libraries that participate in the Universal Service (E-rate) program are also subject to CIPA compliance requirements, which are more stringent for the E-rate program than for LSTA. E-rate CIPA compliance requirements take priority over those for LSTA. This means that a public or school library that is already complying with CIPA under the provisions of the E-rate program

does not have to take any further compliance action to be eligible for LSTA funds. For additional information on CIPA compliance for libraries subject to LSTA rules, please see <http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>.

Every library that submits an application for funding to the State Library *must* include the appropriate CIPA certification documents as part of its application package. This applies to all grant applicants—no matter what type of library or what type of grant. This requirement is the result of guidance provided to state library agencies by the Institute of Museum and Library Services (IMLS), the federal agency that administers LSTA.

Additional information on CIPA, with guidelines and all required forms, is available at <http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>.

2.7. 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**, Section 3.) Please read these carefully.

2.8. Grant program timeline:

For Project grant programs (i.e., programs REQUIRING a Letter of Intent)

Programs include: Automated System; Innovation; Internet Infrastructure Improvement; Library Outreach Services; NC ECHO Digitization; NC ECHO Heritage Partners.

The following deadlines apply to the 2006-2007 Project grants. Some dates are also included for 2005-2006 mid-year planning grant programs.

October 4, 2005	<ul style="list-style-type: none"> Letter of Intent (LOI) announcement for Project grant programs; Guidelines and LOI application form available at URL below. Mid-year cycle 2005-06 EZ planning grant guidelines and applications available (3 categories) – See “2005-2006 LSTA Grant Programs” at URL below. <p>http://statelibrary.dcr.state.nc.us/lsta/lsta.htm</p>
November 21, 2005	<ul style="list-style-type: none"> Letters of Intent due by 5:00 p.m. * Mid-year 2005-06 planning grant applications due by 5:00 p.m.*
December 20, 2005	<ul style="list-style-type: none"> Approved Letters of Intent notified; applications available Announcement of funded Mid-year 2005-06 EZ planning grants
February 22, 2006	Full applications due by 5:00 p.m. *
June 12, 2006	Announcement of funded projects
July 2006 – June 30, 2007	Grant project implementation and expenditure period for 2006-2007 projects
October 15, 2006	Postmark deadline for first grant reimbursement request
January 15, 2007	Postmark deadline for second grant reimbursement request
April 15, 2007	Postmark deadline for third reimbursement request; a minimum of 75% of grant amount must be requested by this deadline
June 30, 2007	Date by which all project funds must be spent
July 15, 2007	Final postmark deadline to submit grant reimbursement request
August 31, 2007	State Library completes grant payments
September 30, 2007	Final report due to State Library

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

For EZ grant programs (i.e., programs NOT requiring a Letter of Intent):

Programs include: Basic Equipment; LSTA Project Planning; **Marketing**; NC ECHO Digitization Starter; Planning; School Library Collection Development; Strengthening Public and Academic Library Collections; Technology Planning.

The following deadlines apply to the 2006-2007 EZ grants.

December 20, 2005	Guidelines and applications available to libraries at URL http://statelibrary.dcr.state.nc.us/lsta/lsta.htm
February 22, 2006	Applications due by 5:00 p.m. *
June 12, 2006	Announcement of funded projects
July 2006 – June 30, 2007	Grant project implementation and expenditure period for 2006-2007 projects
October 15, 2006	Postmark deadline for first grant reimbursement request
January 15, 2007	Postmark deadline for second grant reimbursement request
April 15, 2007	Postmark deadline for third reimbursement request; a minimum of 75% of grant amount must be requested by this deadline
June 30, 2007	Date by which all project funds must be spent
July 15, 2007	Final postmark deadline to submit grant reimbursement request
August 31, 2007	State Library completes grant payments
September 30, 2007	Final report due to State Library

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

2.9. Instructions for preparing and collating your application:

Your application is one of many that reviewers will read. Following these instructions will make it easier for reviewers to read and evaluate your proposal:

- Use an 11-point font size or greater and margins at least 1” on all sides. Concise wording is best.
- Use a header or footer, with a single page numbering system, throughout the whole document except for the cover signature page. Handwritten page numbers on attachments are acceptable.
- When using attached sheets to answer questions, repeat the question and question number from the application form, but do not repeat explanatory information.
- 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.
- Copy your pages front and back if possible on plain white paper.
- Staple application in upper left corner, with signature page on top. Do not bind or include a cover letter.
- Be sure to enclose 1 original of the required CIPA certification forms in your application package. No additional copies are required.

2.10. Where do I apply?

Send completed applications to the address below. 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 February 22, 2006.

Send

- **one** (1) original of your application with certifying signatures in blue ink,
- **one** (1) signed original of each document specified by the *CIPA Certification Guidelines for LSTA Grant Applicants* <<http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>>,
- **plus** the number of copies specified in the table below (excluding CIPA documents).

Grant Program	Application with original signatures in blue ink + CIPA Checklist (& Certification if required) <i>Include CIPA document(s) with original application only; do not make copies.</i>	Copies of application (in addition to the original signed in blue ink) <i>Do not include CIPA document(s).</i>
Project Grants		
Automated System	1	25
Innovation	1	25
Internet Infrastructure Improvement	1	25
Library Outreach Services	1	25
NC ECHO Digitization	1	25
NC ECHO Heritage Partners	1	25
EZ Grants		
Basic Equipment	1	15
Digitization Starter	1	15
LSTA Project Planning	1	15
Marketing	1	15
Planning	1	15
School Library Collection Development	1	9
Strengthening Public & Academic Library Collections	1	15
Technology Planning	1	15

Warning: To be considered, applications must be received in the Library Development Office by the 5:00 p.m. February 22, 2006 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.

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

SLNC 12/05

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 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. 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/etc) 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 the following:

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.

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 143-6.2 "Use of State funds by non-State entities", and the corresponding rules of North Carolina Administrative Code, Title 09, Chapter 03M, "Uniform Administration of State Grants."

LEGAL REFERENCES:

- Nondiscrimination in Federally Assisted Programs – 45 CFR 1110
- Nondiscrimination on the Basis of Handicap in Federally Assisted Programs and Activities – 45 CFR 1170
- Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments – 45 CFR 1183
- Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants) – 45 CFR 1185
- 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
- OMB Circular A-87 - 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

**State Library of North Carolina - Library Services and Technology Act
EZ MARKETING GRANT
2006-2007
Application**

DUE DATE: *Original and required copies must be received by 5:00 p.m. February 22, 2006 in the Library Development Section Office, Room 210.*

INSTITUTION / LIBRARY: _____

MAILING ADDRESS: _____

U.S. CONGRESSIONAL DISTRICT (in which library is located): _____

PROJECT MANAGER, NAME / TITLE: _____

PHONE: _____ **FAX:** _____ **E-MAIL:** _____

PROJECT FUNDS (whole dollars only):	Grant Amount Requested	\$
(Grant request maximum \$25,000; minimum \$2,500)		+
	Matching Funds	\$
(Match must equal at least 10% of grant amount requested)		
	Total Project Funds =	\$

PROJECT TITLE: _____

ABSTRACT: Provide a brief abstract of your project in the space below. See instructions on the following page.

CERTIFICATION AND SIGNATURES:

We are aware of, and agree to comply with, all state and federal provisions and assurances required under this grant program. If awarded grant funds, we assure that we will carry out the grant project according to the approved grant proposal. This application has been authorized by the appropriate authorities of the applying institution/library.

Printed name of library director

Printed name & title of local government or Institutional authorizing official

Signature, Library Director

Signature, above official

Date

Date

SLNC 12/05

ABSTRACT INSTRUCTIONS:

The abstract should clearly and concisely summarize your project. The abstract must not exceed the space available on the signature page. The abstract should not include information that is not in the body of the proposal.

INSTRUCTIONS FOR PREPARING AND COLLATING YOUR APPLICATION:

Refer to Section 2.9 of the *Information & Guidelines*.

It is critical that you review the grant program Information & Guidelines before completing this application.

MARKETING/COMMUNICATION PLAN:

Enclose 16 copies of your completed Marketing/Communication Plan developed as a result of your participation in the State Library's Marketing Workshops. This document will be the basis for your project plan and must meet the criteria covered in the workshops and outlined in Section 1.6 of the grant Information & Guidelines.

1. PROPOSAL NARRATIVE: Use the following outline to describe your project plan in detail.

I. Project Overview

Provide a *brief* summary of the project you are proposing, including the target audience and desired goal.

II. Gap/Need

Provide a clearly defined need statement with supporting data, connecting the project to the library's core mission.

III. Objective(s) & Communication Strategies

A. List the objective(s) from your marketing/communication plan that will be the basis for the project you are proposing. For each objective, list the communication strategies.

B. Explain why you have selected these objective(s) as the focus for your project.

IV. Action Plan

A. Outline the action plan for your project, based on the communication strategies described in section III above. Include activities to be carried out for each strategy. Provide a timeline that includes each activity of the project, expected dates of completion, and names/positions of staff who will be responsible for the activities.

when	what	who
------	------	-----

B. If you are requesting funding for consulting assistance, provide the following information:

- Reasons consulting assistance is needed.
- Qualifications you will seek in recruiting a consultant.

- Any procurement requirements that you must follow in order to hire a consultant and the impact of those requirements on the project timeline.
- If you already have a consultant in mind, describe their qualifications and experience. (It is not necessary to include vita or resume.)

V. Evaluation

Based on your marketing/communication plan, outline how you will determine the degree to which project objectives have been met.

2. BUDGET: Provide both of the following items.

- I. **BUDGET TABLE:** Use the table found in **Appendix A** of this packet to provide the estimated expenditures required to carry out the project.

Nothing should appear in the budget table that has not been included in the narrative of the project. Be sure to show any calculations. Expenditures must tie directly to the strategies listed in the marketing/communication plan that are being implemented in the grant project.

- II. **BUDGET NARRATIVE:** Explain and justify the LSTA and local funds required to implement project activities.

Following the Budget Table, provide a clear explanation of each expenditure listed on the Table. All expenditures should be explained and justified with clear links from each expenditure to project activities.

The budget narrative **must** include an explanation of the source(s) and amounts of the matching funds. Your explanation must also state your understanding that the matching funds must be available when grant agreements are signed.

To determine allowable and unallowable uses of project funds and for details about the matching funds requirements, consult the Marketing Grants *Information & Guidelines*. Contact State Library of North Carolina staff if you have any questions.

The total amount requested for each category should accompany the justification.

- Equipment - List all equipment to be purchased including type, models, etc. Tell how it will be used in the project.
- Contractual Services - Describe services to be provided by contract. Be specific. If contracting with an individual, include their qualifications.
- Supplies - Give a description of project supplies needed. Supplies include postage and printing costs.
- Other Expenses - Describe all other expenses (example: travel costs, small equipment).

3. CERTIFICATIONS:

Complete, sign, and enclose **Appendix B** to provide the required certifications for your application.

4. CIPA CERTIFICATION AND COMPLIANCE:

Every library that submits an application for funding to the State Library *must* include the appropriate CIPA certification document(s) as part of its application package. However, most libraries will not be subject to CIPA compliance as a result of the receipt of LSTA funds.

Applicants should *carefully* read the CIPA Certification Guidelines for LSTA Grant Applicants <<http://statelibrary.dcr.state.nc.us/lsta/certguidelines06.pdf>> to determine what document(s) to submit. Only ***one*** original of each required document should be submitted with the application.

Libraries interested in compliance information should read the LSTA CIPA Compliance Information document at <<http://statelibrary.dcr.state.nc.us/lsta/compliance06.pdf>>. A single web page with these links is at <<http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>>.

If you have questions regarding CIPA certification and compliance, please contact Grant Pair at gpair@library.dcr.state.nc.us or 919-807-7408.

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**Do not include this instruction page with your application.**

**APPLICATION CHECKLIST:** A complete application package will include:

- \_\_\_\_\_ Application signature page signed by appropriate persons.
- \_\_\_\_\_ The library's Marketing/Communication Plan (16 copies).
- \_\_\_\_\_ Complete proposal that responds to every required section of the application.
- \_\_\_\_\_ Complete budget table, with figures that add up correctly (Appendix A).
- \_\_\_\_\_ Budget narrative and explanation of source and availability of matching funds.
- \_\_\_\_\_ Signed certification page (Appendix B).
- \_\_\_\_\_ **1 original application** with certifying signatures **in blue ink, plus 15 copies** (16 total).
- \_\_\_\_\_ **1 original** of the required **CIPA** certification form(s).

**SUBMISSION & FORMAT INSTRUCTIONS:** Make sure that your application is prepared according to the recommended format. Refer to instructions in Section 2.9 of the *Information & Guidelines*.

**DELIVERY INFORMATION:**

***DUE DATE:*** *The complete application package must be received by 5:00 p.m. February 22, 2006 in the Library Development Section Office, Room 210.*

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

**Warning: To be considered, applications must be received in the Library Development Office by the 5:00 p.m. February 22, 2005 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.

**Do not include this instruction page with your application.**

# Appendix A

## BUDGET TABLE:

This page provides an overview of the expenditures that will support your proposed project. Use the required "Budget Narrative" to give a more detailed explanation of the costs in each category and any calculations used.

If you do not use this page, you must present your budget in an identical format.

*Round totals to whole dollars.*

|                                                         | <u>Quantity</u> | <u>Unit Cost</u> | <u>LSTA \$</u> | <u>Local \$</u> | <u>Total \$</u> |
|---------------------------------------------------------|-----------------|------------------|----------------|-----------------|-----------------|
| 1. Equipment                                            | _____           | _____            | _____          | +               | _____ = _____   |
| 2. Contractual services                                 | _____           | _____            | _____          | +               | _____ = _____   |
| 3. Supplies (also postage, printing)                    | _____           | _____            | _____          | +               | _____ = _____   |
| 4. Other expenses. Specify. (e.g. travel costs)         | _____           | _____            | _____          | +               | _____ = _____   |
|                                                         | _____           | _____            | _____*         | +               | _____** = _____ |
| 5. TOTAL PROJECT COSTS (1.- 4. above)                   |                 |                  | _____          | +               | _____ = _____   |
| Total Project Costs = LSTA Grant Funds + Matching Funds |                 |                  |                |                 |                 |

Amount of LSTA **grant funds** requested \* \_\_\_\_\_

Amount of **matching funds** \*\* + \_\_\_\_\_

**Total Project Costs** (= 5 above) = \_\_\_\_\_

\* **Grant** funds requested must be at least \$2,500 but cannot exceed \$25,000.

\*\* Local **matching** funds must equal at least 10% of the LSTA grant request (i.e. a 1 to 10 ratio, or 1/11th of the total project costs). See *Information and Guidelines* for more information.

# Appendix B

**CERTIFICATIONS:** Libraries applying for an EZ Marketing Grant must provide the following assurances.

Please initial to the right of each statement and sign below.

- The following staff members from our library attended the State Library's Marketing Workshop:

Name: \_\_\_\_\_

Name: \_\_\_\_\_

- The library administration supports the Marketing/Communication Plan and its implementation. \_\_\_\_\_
- The library is committed to providing the required matching funds, which must be available by the time any grant agreement is signed. \_\_\_\_\_
- The library verifies that it will provide adequate resources to support the project, including time for staff and appropriate members of the community (trustees, Friends members, etc.) to participate in the marketing activities. \_\_\_\_\_

\_\_\_\_\_  
Signature, Library Director

\_\_\_\_\_  
Date