

**LSTA POWERFUL PARTNERS COLLABORATION GRANTS
2004-2005
Information & Guidelines**

1. What is this grant program and its purpose?

The LSTA Powerful Partners Collaboration Grants are designed to help libraries build collaborative community partnerships focused on the needs of children and teens. The program enables libraries to work in partnership with other organizations, giving libraries a visible role as a strong, vibrant leader in the community.

The grant program responds to *Powerful Partners*, strategic plan for statewide youth services, as well as to Goal #3 of the *Library Services and Technology Act Plan for Implementation in North Carolina, 2003-2007* (found at URL <<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>):

GOAL #3: LIBRARIES AND LIBRARIANS LEAD IN SUPPORT OF LEARNING AND DISCOVERY FOR CHILDREN AND TEENS

- **VISION FOR SUCCESS:** *With leadership from libraries and librarians in every North Carolina community children and teens will learn to read, love to learn, and have access to the world.*
 - **Outcome 3.1:** *North Carolina's children and teens benefit from the combined resources and efforts of a community focused on education and the healthy development of youth.*
 - **Strategic Focus:** *Encourage and support community partnerships.*

2. What is the application process?

The grant process has two steps aimed at saving time and other resources for those libraries that may not be competitive for a Powerful Partners Collaboration Grant in the current round.

Step #1: Letter of Intent: A library interested in applying for this grant must submit a Letter of Intent (LOI) by November 21, 2003. 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.

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 December 19, 2003; applications will be due February 20, 2004. State Library staff, external reviewers, and the LSTA Advisory Committee will review the applications and make recommendations to the State Librarian regarding funding.

3. 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; public schools with a qualified school library media center; and the State Library of North Carolina. Only one partner may apply for the grant, and that library will be the lead organization for the grant, responsible for administering the grant funds.

Only libraries that submitted a Letter of Intent by November 21, 2003, and received authorization to submit a full application are eligible to apply for a Powerful Partners Collaboration Grant.

An eligible library system, academic institution, or public school may submit only one Powerful Partners Collaboration Grant Application. *[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)].*

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

The time to prepare the Letter of Intent is limited. If your library has not developed community partnerships and/or does not have a clear concept and plan already outlined to enable you to prepare a well-crafted Letter of Intent, the State Library encourages you to consider applying instead for an LSTA Project Planning Grant for 2004-2005.

Libraries that receive LSTA Project Planning Grants for 2004-2005 will be able to begin their planning in July 2004. In order to use the planning period effectively, the library should begin its project promptly and be well along in its planning process by November 2004, when it may file a Letter of Intent for the Powerful Partners Collaboration Grant for 2005-2006. If the Letter of Intent is successful, the library may submit a full application in late February 2005 for a project that will begin in July 2005.

4. What amount of grant funds may be requested?

The maximum grant request is \$50,000; the minimum grant request is \$5,000.

5. Are matching funds required?

Yes. Powerful Partners Collaboration Grant project budgets must include 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 local contribution may be a combination of cash and library staff salary and benefits.
- Salary and benefits for staff who will work with the project may be used for up to 25% of the required local match. Applicants must indicate the role of staff member(s) with regard to the project and must provide hourly pay rate and benefits calculations information as well as the number of hours the staff will work on the project.

- All of the cash match must be 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.
- Cash 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). Contact State Library staff to discuss exceptions before submitting final application.
- 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 lead library representatives and the State Librarian sign the grant agreement.

6. How may the project funds be used?

Project funds are to be used for necessary and appropriate costs to achieve the project's objectives. *Possible expenditure categories and definitions are listed below.* The proposal must clearly state how each proposed expenditure was determined, 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. Examples include audiovisual equipment, computers, printers, fax machines, file cabinets. Include only items with a useful life of at least one year and an acquisition cost of \$500 or more. Small equipment items, 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.]
- *Library Materials.* This category includes costs for books, periodicals, newspapers, documents, pamphlets, photographs, reproductions, microforms, pictorial works, graphic works, musical scores, maps, charts, globes, sound recordings, processed video tapes, computer software, and materials designed specifically for the handicapped.
- *Salaries and Benefits.*
Allowable with grant funds: Wages and benefits for each staff to be employed for the project (*temporary only*). The budget narrative should explain the basis for determining the salary and benefits, with benefits shown separately from the salary. Fees and expenses for consultants should be included under Contractual Services.

Allowable as a local match: Up to 25% of the required local match can be met with staff salary and benefits, for staff that will work with the project. Applicants must indicate the role of staff member(s) with regard to the project, and provide hourly pay rate and benefits calculations information as well as the number of hours the staff will work on the project.

- *Contractual Services.* This category should include costs for specific services to be performed by an outside organization or individual under contract. Examples include consultant fees, rentals, and honoraria for speakers. Applicants should be able to show in the application that proposed contractors are qualified to perform the work or service.

- *Supplies.* Include costs for project supplies such as paper, tape, pencils, and computer supplies. Also includes postage and printing costs.
- *Other Expenses.* Include in this category costs for any other justifiable expenses needed to implement the project but which do not fall under the prior categories. Examples include small equipment items costing less than \$500, or travel (mileage, lodging, meals) associated with the project.

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>.

Ineligible expenses:

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

7. 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., February 20, 2004; and
- propose a project that is focused on the needs of children and teens in the community.

The following factors and criteria will be used to determine priority for funding among the eligible applications.

I. The Collaborative Nature of the Partnership

The level and quality of the collaborative partnership should be strong and well developed. The proposal should clearly describe the nature of the relationship to reflect those qualities, and reviewers will be evaluating proposals based on information in Appendix A (*Nineteen Factors Influencing Successful Collaborations*) and Appendix B (*Cooperation, Coordination, & Collaboration: A Table Describing the Elements of Each*), as well as these criteria:

- Partners are agencies and institutions in the community that are appropriate to meeting the needs of children and youth and that have worked together before or have demonstrated their ability to work together by sharing responsibility for planning the project;
- The partner organizations have clearly shared responsibility for determining the need and developing the project plans;
- The goals of the partnership focus on the needs of children and teens in the community and not on the needs of the organizations;
- Each partner organization is fully supportive of the project and playing an active role in the project;
- The role of each partner is clearly defined, and the proposal demonstrates that this will be reflected in the project by describing those roles and specific information about contributions that each organization will make;
- The proposal clearly shows that there is shared authority, leadership is disbursed, and decision making for the project is shared—and all these elements are clearly defined;
- Resources for the project are pooled or jointly secured for the longer-term effort that is being organized, and
- The partnership and/or programs developed as part of the project are sustainable over time beyond the life of the grant.

In addition to the description of the partnership in the proposal itself, the chief executive of each partner agency must write a “Partner Commitment Letter” that demonstrates the organization’s support for the collaborative partnership and the proposed project. The letter should be written by that individual and should not be a pro forma letter. The contents will be used to evaluate the collaborative partnership and should, at minimum, clearly spell out:

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

II. A Clear, Well-Crafted Project Plan

A successful proposal will be based on a project plan that includes:

A. A Documented Community Need

In the context of this grant program, “community” is defined as a county, city, town, or neighborhood, not as a single institution (i.e., it is broader than a single school). The problem or need to be addressed by this project should:

- Be consistent with Goal #1 of the Powerful Partners project—to support the “education and the healthy development of youth”;
- Have been identified by all the partners in the project;
- Be a problem or need of the target audience (i.e., children and teens)—not of the library or other partners;
- Be of reasonable dimensions for the project time-frame; and
- Be documented by relevant statistical data that demonstrates and documents the gap between the current situation and the desired change—data that will be used to define the project objective and to evaluate the success of the project.

B. A Clear Goal

Project partners should work together to articulate a clear goal that is appropriate for the project and that:

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

C. Specific, Measurable Objective(s)

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

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

D. A Realistic, Clear Action Plan

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

- Clearly describe the program activities;
- Define the roles and responsibilities of each partner organization in implementation activities;
- Outline the sequence of activities with a timetable;
- Be reasonable in scope, meaning that it can be implemented within the time and resources of the project;
- Be stated in measurable terms (i.e., specifies the number and types of programs, services, and resources);
- Be appropriate for the target audience, need, and objective(s);
- Describe staffing, specifying duties and qualifications;
- Identify program resource people who will contribute, include a clear statement about why they are both needed and well-qualified; and
- Include appropriate methods of publicizing the project to the target audience and others involved with the target audience.

E. A Well Developed Budget

The budget for the project must:

- Be appropriate to the plan outlined in the proposal and clearly linked to that plan;
- Explain the basis for all projected expenditures and the basis for the estimates with no unexplained, miscellaneous, or contingency amounts;
- Budgeted amounts are reasonable;
- Wages and benefits are detailed separately;
- Include information (e.g. experience and qualifications) about any proposed consultants and other contractual services;
- Relate any travel expenses to the project plan;
- Exclude all disallowed expenditures;
- Meet local match requirements.

F. An Effective Evaluation

Because the language of the law establishing LSTA requires increased accountability for grantees, an effective evaluation is essential. The evaluation must present an

achievable plan for determining the success of the project in closing the gap defined in the needs assessment and objective(s). An evaluation plan will be judged effective if it:

- Presents a practical plan for determining whether or not the project met the stated objective by the end of the grant period;
- Tells who will be doing the evaluation and why they were chosen;
- Clearly states the criteria for success; and
- Describes how the data will be gathered and analyzed—both qualitatively (testimonials, stories, and anecdotes) and quantitatively (numerical/statistical).

The evaluation section should describe the process that the project partners will use to evaluate the collaborative partnership and it should at a minimum include the development of a “collaboration report card” that answers questions such as: Did the team feel successful? What worked well and what would you change in the future? What was the level of participation and communication? What did you learn about collaboration?

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.

III. Local Commitment

The library must contribute the required local matching funds, which must be available by the time the library signs the grant agreement. The source of matching funds must be documented in the application. A factor in the review of grant proposals will be whether a library can clearly show that they will have adequate local resources to implement the project.

IV. 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 its 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/financialfactors0405.htm>.

8. What is the review process?

- A library interested in applying for a Powerful Partners Collaboration Grant must submit by November 21, 2003, a brief "Letter of Intent" which explains the project concept.
- 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 December 19, 2003.
- 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 20, 2004 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 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 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.

9. 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. Regular reimbursements ensure 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, 2005, 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, 2005. 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, 2005 is the final deadline for grant payment/reimbursement requests to be received or postmarked. The State Library will complete all payments by August 30, 2005.

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.

10. 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, 2005. The report will include a summary of project expenditures, and descriptions and measures to show the extent to which the project achieved its purposes and made a difference for the targeted users. The State Library will provide a form for the grant report.

11. 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>.

12. What else do applicants need to know?

Because these grants are from federal funds (Library Services and Technology Act) administered through a state agency, all grantees must adhere to required federal and state provisions. (See **Grant Provisions**, page 14.) Please read these carefully.

13. Grant program timeline:

These are the deadlines that apply to 2004-2005 Powerful Partners Collaboration Grants.

October 10, 2003	Letter of Intent (LOI) announcement for Project Grants; Guidelines and LOI application available at URL http://statelibrary.dcr.state.nc.us/lsta/lsta.htm
November 21, 2003	Letters of Intent due by 5:00 p.m. *
December 19, 2003	Notification of authorization to submit full application; form for full application provided to approved applicants
February 20, 2004	Applications due by 5:00 p.m. *
June 9, 2004	Announcement of funded projects
July 2004 – June 30, 2005	Grant project implementation and expenditure period
October 15, 2004	Postmark deadline for first grant reimbursement request
January 15, 2005	Postmark deadline for second grant reimbursement request
April 15, 2005	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, 2005	Date by which all project funds must be spent
July 15, 2005	Final date to submit reimbursement request for balance of grant
August 30, 2005	State Library completes grant payments
September 30, 2005	Final report due to State Library

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

14. 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 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.

15. Where do I apply?

Letter of Intent (LOI): Interested libraries must first submit a Letter of Intent to the address below. The Letter of Intent application form for 2004-2005 is available at URL: <http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>. Send 20 Letters of Intent: one with original signature in blue ink and 19 copies. All Letters of Intent must be received in the State Library's Library Development Section Office (Room 210, Archives & State Library Building) by 5:00 p.m. on November 21, 2003.

Full Application: Only LOI applicants that receive authorization from the State Library may submit a full application. Completed application forms should be sent to the address below. Send 26 applications—one with original signatures in blue ink and 25 copies, as well as one signed original of each document specified by the *CIPA Certification Guidelines for LSTA Grant Applicants* <<http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>>. 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 20, 2004.

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, Letters of Intent and full applications must be received in the Library Development Office by 5:00 p.m. on the designated deadline date: November 21, 2003 for Letters of Intent, and February 20, 2004 for applications.

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.

16. For further information:

Questions about LSTA Powerful Partners Collaboration Grants should be directed to the State Library of North Carolina, Library Development Section:

- Jim Rosinia, Youth Services Consultant, 919.807.7425, <jrosinia@library.dcr.state.nc.us>
- Penny Hornsby, Federal Programs Consultant, 919.807.7420, <phornsby@library.dcr.state.nc.us>

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Appendix

A

Nineteen Factors Influencing Successful Collaborations

Nineteen factors influencing successful collaborations identified in *Collaboration: What Makes It Work** by Paul Mattessich and Barbara Monsey of the Wilder Research Center. Grouped into six categories, this review of the research literature describes:

Factors Related to the ENVIRONMENT

1. History of collaboration or cooperation in the community
2. Collaborative group seen as a leader in the community
3. Political/social climate favorable

Factors Related to MEMBERSHIP CHARACTERISTICS

4. Mutual respect, understanding, and trust
5. Appropriate cross-section of members
6. Members see collaboration as in their self-interest
7. Ability to compromise

Factors Related to PROCESS/STRUCTURE

8. Members share a stake in both process and outcome
9. Multiple layers of decision making
10. Flexibility
11. Development of clear roles and policy guidelines
12. Adaptability

Factors Related to COMMUNICATION

13. Open and frequent communication
14. Established informal and formal communication links

Factors Related to PURPOSE

15. Concrete, attainable goals and objectives
16. Shared vision
17. Unique purpose

Factors Related to RESOURCES

18. Sufficient funds
19. Skilled convener

** Collaboration: What Makes It Work by Paul Mattessich and Barbara Monsey is available from Wilder Publishing Center, 919 Lafond Avenue, St. Paul, MN 55104, phone toll-free 1-800-274-6024; in Minneapolis and St. Paul, 659-6024.*

APPENDIX B: Cooperation, Coordination & Collaboration

A Table Describing the Elements of Each ¹

Essential Elements	Cooperation	Coordination	Collaboration
Vision and Relationships	<ul style="list-style-type: none"> • basis for cooperation is usually between individuals but may be mandated by a third party • Organizational missions and goals are not taken into account • interaction is on an as needed basis, may last indefinitely 	<ul style="list-style-type: none"> • individual relationships are supported by the organizations they represent • missions and goals of the individual organizations are reviewed for compatibility • interaction is usually around one specific project or task of definable length 	<ul style="list-style-type: none"> • commitment of the organizations and their leaders is fully behind their representatives • common, new mission and goals are created • one or more projects are undertaken for longer term results
Structure, Responsibilities & Communication	<ul style="list-style-type: none"> • relationships are informal; each organization functions separately • no joint planning is required • Information is conveyed as needed 	<ul style="list-style-type: none"> • organizations involved take on needed roles, but functions relatively independently of each other • some project-specific planning is required • communication roles are established and definite channels are created for interaction 	<ul style="list-style-type: none"> • new organizational structure and/or clearly defined and interrelated roles that constitute a formal division of labor are created • more comprehensive planning is required that includes developing joint strategies and measuring success in terms of impact on the needs of those served • beyond communication roles and channels for interaction, many 'levels' of communication are created as clear information is a keystone of success
Authority & Accountability	<ul style="list-style-type: none"> • authority rests solely with individual organizations • leadership is unilateral and control is central • all authority and accountability rests with the individual organization which acts independently 	<ul style="list-style-type: none"> • authority rests with the individual organizations but there is coordination among participants • some sharing of leadership and control • there is some shared risk, but most of the authority and accountability falls to the individual organizations 	<ul style="list-style-type: none"> • authority is determined by the collaboration to balance ownership by the individual organizations with expediency to accomplish purpose • leadership is dispersed, and control is shared and mutual • equal risk is shared by all organizations in the collaboration
Resources and Rewards	<ul style="list-style-type: none"> • resources (staff time, dollars and capabilities are separate, serving the individual organizations' needs 	<ul style="list-style-type: none"> • resources are acknowledged and can be made available to others for a specific project • rewards are mutually acknowledged 	<ul style="list-style-type: none"> • resources are pooled or jointly secured for a longer term effort that is managed by the collaborative structure • organizations share in the products; more is accomplished jointly than could have been individually

¹ Adapted from the works of Martin Blank, Sharon Kagan, Atelia Melaville and Karen Ray.

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 acknowledge IMLS/LSTA when preparing publications and printing materials. They should also 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 in whole or in part by 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 state and federal 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:

- 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-133 - Audits of States, Local Governments, and Non-Profit Organizations.

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