

State Library of North Carolina - Library Services and Technology Act
EZ PLANNING GRANT
2004-2005
Information & Guidelines

1. What is this grant program and its purpose?

The purpose of the Planning Grant program is to encourage and support effective planning in public and academic libraries by enabling them to secure the services of a qualified consultant to assist with **one** of the following:

- general planning for programs and services,
- community-based planning for youth services, or
- a building program or library space utilization study.

Each library may select the consultant of its choice, but the selected consultant must be qualified to carry out the proposed planning activities. The choice of consultant is subject to State Library approval based upon information about the consultant's background and experience demonstrating appropriate qualifications for the planning work.

This grant program helps achieve Outcome 1.4 of the *Library Services & Technology Act Plan for Implementation in North Carolina – 2003-2007* (<<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>).

Outcome 1.4: North Carolina's library leaders have access to the skills, information, tools, and resources they need to provide excellent library service.

Strategic Focus: Develop & assist library leaders, managers & staff.

Output: Provide library managers with the resources they need to plan and evaluate library services.

2. Who may apply?

The following libraries are eligible to apply: 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; qualified state agency libraries; and the State Library of North Carolina.

An eligible public library system, academic institution, or state agency library may submit only one Planning 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).*]

Collaborative projects involving more than one library are allowable; however, one of the partner libraries must be the lead library, responsible for accepting and administering the grant funds.

3. What amount of funds may be requested?

A library may request up to \$15,000. Any amount over \$15,000 that is required for the planning project is the responsibility of the local library(ies).

4. Are local matching funds required?

No local matching funds are required for a Planning Grant.

5. How may the grant funds be used?

Planning Grant funds are intended to help libraries secure the services of a qualified consultant. These LSTA grant funds may **not** be used for “overhead” or indirect/administrative costs.

6. What special considerations apply to this grant?

It is critical for this grant program for the library to obtain qualified, appropriate consulting assistance. Applicants must either:

- (1) provide complete, convincing information about the qualifications of the consultant they plan to hire in their grant application, **OR**
- (2) if applicant will use an RFP process that cannot be completed prior to the grant application deadline, this means that a grant application may be given provisional approval. The final funding decision will be made if the State Library receives information about the library's consultant no later than August 15, 2004, and approves the consultant as having the appropriate qualifications for the planning project.

So that libraries can submit the required information about the preferred consultant for this application, any RFP or other solicitation of proposals should elicit the following (as requested in #6 of the Application):

- Name and address of the consulting firm.
- Name and title of each individual in the consulting firm who will carry out the project and the minimum number of hours each will dedicate to a library's project, and the number of onsite visits that will be made.
- Vita or resume of each individual in the consulting firm who will be involved in the project. Include a list of any published articles on planning.
- A list of organizations, with contact person names, addresses, and telephone numbers, for which the consultant has performed similar planning activities during the past five years. The list must identify two projects comparable in size to the proposed project.

Grant applicants are encouraged to undertake the consultant selection process as early as possible; however, **no contract may be signed with a selected consultant until grant agreements are signed by both library representatives and the State Librarian.**

There are distinct advantages to identifying the preferred consultant as early as local policy allows:

- (1) All sections of the application can be completed by the deadline, eliminating any delay in implementing the planning project.
- (2) Consultant schedules sometimes fill up months in advance. If you have a place on a consultant's schedule you will be in a better position to begin your project promptly.

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

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

- an application must be **received** by the February 20, 2004 deadline.
- the State Library must determine that the selected consultant has appropriate qualifications for the planning project.

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

I. Appropriateness of Proposed Planning Activities

Priority will be given to planning activities that match a critical need of the library. The appropriateness of the proposed planning activities to the library must be explained in the Application under "Project Description."

II. Adequacy of Current Planning

The Planning Grant program is intended to encourage and support effective planning in public and academic libraries. Priority for grant funding will be given to libraries that have not undertaken planning activities in the past five years. Recent planning activities must be described in the Application under "Description of Recent Planning Activities."

III. Readiness

A library is expected to have a plan for providing adequate time for staff and appropriate members of the community (residents, trustees, local government officials, etc.) to participate in the planning activities and to assist the consultant with background information. The library's plan for providing adequate time for this participation must be explained in the Application under "Project Description."

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?

- 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 20, 2004 to be eligible for review.
- 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 (at URL <<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>) by the June award announcement date.
- No grant funds 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.

10. What reports must grantees make?

Libraries receiving a grant must provide a report on the planning activities undertaken with the grant. The report will be due to the State Library by September 30, 2005. The State Library will provide a form for the grant report; the grant report will also require a copy of the report or plan resulting from the consultant's work.

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 7.) Please read these carefully.

13. Grant program timeline:

These deadlines apply to the 2004-2005 Planning Grants:

December 19, 2003	Guidelines and application available at URL http://statelibrary.dcr.state.nc.us/lsta/lsta.htm
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 period
August 15, 2004	Information required of provisionally funded libraries due by 5:00 p.m.**
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.

** Provisionally funded libraries must provide a more complete and updated timeline, actual budget and budget explanation, and qualifications information for the consultant and consultant's staff (application sections: #2c, #4, #5, and #6). This information must be submitted by August 15, 2004.

14. Where do I apply?

Completed application forms should be sent to the address below. Send 16 applications, including one with original signatures **in blue ink**. All applications must be received in the State Library's Library Development Section Office (Room 210, Archives & State Library Building) by 5:00 p.m. on February 20, 2004.

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

Warning: To be considered, applications must be received in the Library Development Office by the 5:00 p.m. February 20, 2004 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.

15. For further information:

Questions about the Planning Grants should be directed to Penny Hornsby, Federal Program Consultant, Library Development Section, State Library of North Carolina; telephone: 919.807.7420; or e-mail: phornsby@library.dcr.state.nc.us.

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GRANT PROVISIONS

The following state and federal provisions apply to the LSTA grant program. Libraries awarded grants must agree to comply with these provisions.

1. Grant Agreement and Timing of Expenditures

Official notification of the grant award must be received from the State Library and a grant agreement (formal agreement between the grantee and the State Library) signed by both the representatives of the library and the State Librarian *before* any funds may be encumbered or expended for the project.

2. Allowable and Unallowable Costs

Grantees must carry out the grant project according to the approved grant proposal, and all federal funds must be expended solely for the purpose for which a grant was awarded.

The following costs are unallowable and may not be proposed as grant project costs: bad debts, contingencies, contributions and donations, entertainment, fines and penalties, 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

State Library of North Carolina - Library Services and Technology Act
EZ PLANNING GRANT
2004-2005
Application

DUE DATE: *Original and required copies must be received by 5:00 p.m. February 20, 2004 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:** _____

GRANT AMOUNT REQUESTED (whole dollars only): _____ **\$**
Total grant amount requested (maximum \$15,000)

ABSTRACT: Provide a brief abstract of your project. Do not exceed the space below.

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

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ABSTRACT INSTRUCTIONS:

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

APPLICATION & SUBMISSION INSTRUCTIONS: 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.
- Copy your pages front and back if possible, on plain white paper.
- Use a header or footer, with a single page numbering system, throughout the whole document except for the required initial signature page. Handwritten page numbers on attachments are acceptable.
- When using attached sheets to answer questions, repeat the questions and question numbers 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.
- Staple application in upper left corner, with signature page on top.
- Be sure to enclose one (1) original of the required CIPA certification form(s) in your application package. No additional copies are required.

Do not include this instruction page with your application.

1. CONSULTANT:

a. Have you already selected a consultant? Yes No

b. If you have not already selected a consultant, check all that apply:

our local government requires us to issue an RFP

we plan to issue an RFP

we will select a consultant using a less formal process

c. Consultant Selection Process

If the library is planning to issue an RFP in order **to select its consultant**, please provide the following information:

Activity	Date
Preparation of RFP completed	
RFP advertised for consultant responses	
Consultant proposal submission deadline	
Bid/Proposal opening	
Bid/Proposal evaluation completed	

If using a less formal process, explain your timeline and consultant selection process.

2. PROJECT DESCRIPTION:

On a separate sheet provide information about your proposed project. Include the following:

a. **Description of the planning activities** that you wish to carry out, i.e. tell us what you want to do.

b. **Background information** on how the need for this project was determined and an explanation of why the proposed planning activities are appropriate to the library.

c. **Timeline** listing the sequence of project activities with the expected completion dates. Remember to accommodate the local institutional approval process and the grant program deadlines.

- If an RFP must be advertised before a consultant can be selected, this timeline will need to be provided to the State Library by August 15, 2003.
- If a consultant has been selected, the timeline should be prepared in consultation with him/her.

d. **Description of the library's plan for providing adequate time** for staff to participate in the planning process and to assist the consultant with background information.

e. **Description of the library's plan for involving others** in the community, e.g. residents, trustees, community leaders, local government officials.

3. DESCRIPTION OF RECENT PLANNING ACTIVITIES:

On a separate sheet describe any recent planning activities that are related to the project you are proposing. If appropriate, include relevant planning activities carried out by the institution or local government of which the library is a part.

4. ESTIMATED BUDGET:

Provide actual costs if available. If proposals have not yet been obtained from potential consultants, provide the best possible estimate. [Note: All applicants awarded funding will have to provide actual costs once a consultant has been selected.]

Consultant Costs	\$	*
(the only expense covered by the Grant)		
Expenses to be incurred by the library	\$	
(not covered by the Grant)		
TOTAL ESTIMATED COST OF PROJECT	\$	

* Grant funds requested for consultant costs cannot exceed \$15,000. Costs exceeding \$15,000 must be paid from local sources.

5. BUDGET EXPLANATION:

Provide a clear explanation of the proposed budget to assist grant reviewers. If the information cannot be supplied until a consultant is selected, it will be required from any library selected for funding by August 15, 2004.

- a. Attach a document from the proposed consultant that delineates how the consultant costs will be calculated, e.g. personnel costs, travel costs, meals, etc.
- b. If applicable, identify and explain any additional expenses that will be incurred by the library and paid with local funds.

6. BACKGROUND AND EXPERIENCE OF CONSULTANT AND CONSULTANT’S STAFF:

Attach the information requested below. If a consultant has not yet been selected, this information must be provided to the State Library by any library selected for funding by August 15, 2004.

- a. Provide the name and address of the consulting firm.
- b. Provide the name and title of each individual in the consulting firm who will carry out the project and the minimum number of hours each will dedicate to a library's project, and the number of onsite visits that will be made by the consulting firm.
- c. Provide the vita or resume of each individual in the consulting firm who will be involved in the project. Include a list of any published articles on planning.
- d. Provide a list of organizations, with contact person names, addresses, and telephone numbers, for which the consultant has performed similar planning activities during the past five years. The list must identify two projects comparable in size to the proposed project.

7. 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/certguidelines.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/compliance.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.



SUBMISSION & FORMAT INSTRUCTIONS: Make sure that your application is prepared according to the recommended format. Refer to instructions on page 2 of the Application.

DUE DATE: *The complete application package must be received by 5:00 p.m. February 20, 2004 in the Library Development Section Office, Room 210.*

SEND 1 original application with certifying signatures in blue ink, plus 15 copies (16 total), plus 1 original of the required CIPA certification form(s).

Delivery by US Postal Service:	Delivery by commercial service (e.g. FedEx, UPS), 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

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