

**State Library of North Carolina – Library Services and Technology Act
EZ TECHNOLOGY PLANNING GRANT
2006-2007**

Information & Guidelines

1. PROGRAM SPECIFIC INFORMATION & GUIDELINES

1.1. What is this grant program and its purpose?

The Technology Planning Grant program enables eligible libraries to secure the services of a qualified consultant to assist in adequate and effective planning for technology, consisting of **one** of the following:

- developing a comprehensive technology plan;
- planning for a new or upgraded integrated automated library system, including development of an RFP.

A library's preferred focus may be to plan for only a portion of the library's technology needs. However, this type of limited planning is not encouraged AND will typically not be eligible for the maximum grant amount. The State Library encourages libraries to use a Technology Planning Grant as an opportunity to look at the overall picture of technology and its role in service to users and optimization of all the library's resources.

If technology planning is being driven by plans for a new building or remodel of an existing library building, the consultant can help plan for technology in the new facility. However, this must be done in the context of the overall technology needs of the entire library system.

A 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 in the application about the consultant's background and experience demonstrating appropriate qualifications for the planning work. See Section 1.5, "How may the grant funds be used", for details.

The selected consultant must be named in the grant application. A library may not identify its consultant after receiving provisional approval for funding.

Technology Planning Grants help achieve Outcome 1.1 in *Library Services & Technology Act Plan for Implementation in North Carolina – 2003-2007* (found at URL <http://statelibrary.dcr.state.nc.us/lsta/plan2003-07.pdf>): making certain that North Carolinians have access to electronic information resources through their libraries.

1.2. Who may apply?

The following libraries are eligible to apply for these grants:

- 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 Technology Planning 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).*]

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.

1.3. What amount of funds may be requested?

The maximum grant amount that may be requested for a planning project for a single library system is \$20,000. The maximum amount that may be requested for a multi-library collaborative project is \$35,000. Costs to implement the project above the maximum award are the responsibility of the local library(ies).

1.4. Are local matching funds required?

No local matching funds are required for a Technology Planning Grant.

1.5. How may the grant funds be used?

Technology Planning Grant funds are intended to help libraries secure the services of a consultant or consulting firm qualified to carry out the proposed technology planning activities. The choice of consultant is subject to State Library approval based upon information about the consultant's background and experience. A consultant must demonstrate appropriate qualifications for the proposed technology planning work.

To assist libraries in finding a consultant, the State Library has assembled a Consultant List. See the list at URL <<http://statelibrary.dcr.state.nc.us/lsta/consultants06-07.htm>>.

[Note: A library may not sign a contract with a consultant until grant agreements are signed by both library representatives and the State Librarian.]

For libraries planning to upgrade or replace an automated system where a desired outcome is evaluation or development of an automated system Request for Proposal (RFP), the resulting RFP must specify a system that meets the *Minimum Standards for Library Automation in North Carolina* (<<http://statelibrary.dcr.state.nc.us/lsta/minstds.pdf>>). These standards ensure that automated system projects will result in adequate and functional integrated library systems to support access to resources for users and effective management of the library and its resources. The RFP should also reflect awareness of principles explained in "Best Practices for Automation in Libraries in North Carolina", <<http://statelibrary.dcr.state.nc.us/lsta/bestprac.pdf>>. Technology Planning Grant expenditures **may** include costs for a consultant to help evaluate responses to an RFP and/or negotiate contract costs with vendors; however, the work must be completed and paid for by June 30, 2007.

Because a primary purpose of this grant program is to assist libraries in the development of comprehensive technology plans, funds awarded under this grant program may **not** be used for technology plans solely to meet the needs of new or remodeled buildings. Technology planning for new buildings must be done as part of an overall technology plan.

Funds **may** be used to plan for a portion of the library's technology needs, for example, to investigate options for Internet workstation and print management. However, this type of limited planning is not encouraged AND will typically not be eligible for the full grant award. The State Library encourages libraries to use a Technology Planning Grant as an opportunity to look at the overall picture of technology and its role in service to users and optimization of all the library's resources.

These LSTA grant funds **may not** be used for "overhead" or indirect/administrative costs.

1.6. What special considerations apply to this grant?

This grant program requires that the library obtain qualified, appropriate consulting assistance. Applicants must provide in their application complete, convincing information about the qualifications of the consultant they plan to hire for their 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 #5 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, the minimum number of hours each individual will dedicate to a library's project, and the number of onsite visits that will be made by the consulting firm.
- 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 technology 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.

As noted in Section 1.5 above, the State Library has assembled a Consultant List to assist libraries in finding a consultant. See the list at URL <http://statelibrary.dcr.state.nc.us/lsta/consultants06-07.htm>.

No contract may be signed with a selected consultant until grant agreements are signed by both library representatives and the State Librarian.

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

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

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

- an application must be **received** by the 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 technology 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 / Minimum Standards

The Technology Planning Grant program is intended to encourage and support effective technology planning in public and academic libraries, and is aimed at making certain that all eligible libraries have adequate and appropriate technology plans, as well as online integrated systems that meet minimum standards.

Priority will be given to libraries that do not have a technology plan or have not undertaken significant technology planning activities in the past three years.

For libraries that are implementing planning for an automated library system, a high priority will be given to:

- those without automated systems
- those with automated systems that do not meet the *Minimum Standards for Library Automation in North Carolina*.

Recent technology planning activities, and deficiencies of the current automated system (if applicable), must be described in the Application.

Relevant Documents:

- *Minimum Standards for Library Automation in North Carolina*
<<http://statelibrary.dcr.state.nc.us/lsta/minstds.pdf>>
- *Best Practices for Automation in Libraries in North Carolina*
<<http://statelibrary.dcr.state.nc.us/lsta/bestprac.pdf>>

III. Readiness

A library is expected to have a plan for providing adequate time for staff and appropriate members of the library's community (e.g. trustees, local government officials, institution staff and administration, local IT/MIS staff) 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."

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.

1.8. For further information about this grant program:

Questions about the Technology Planning Grants should be directed to Grant Pair, Assistant State Librarian for Library Development and Technology, State Library of North Carolina; telephone: 919-807-7408; or e-mail: gpair@library.dcr.state.nc.us.

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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	

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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 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

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2006-2007
Application**

DUE DATE: *Original and 15 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:** _____

GRANT AMOUNT REQUESTED (whole dollars only): _____ **\$**
(grant request maximum \$20,000 single library; \$35,000 multi-library)

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 and Guidelines before completing this application.

1. PROJECT DESCRIPTION:

Is your library implementing a planning project to prepare for purchase of an automated system, or undertaking general technology planning? *Check the appropriate box.*

Planning for an automated system	
General technology planning	

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. Include the expected results and product(s) of the planning activities.
- 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. The timeline should be prepared in consultation with the consultant and any partner(s). Remember to accommodate the local institutional approval process and the grant program deadlines.
- 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, institution staff and administration, local IT/MIS staff.
- f. **If this project involves more than one library**, describe:
 - the libraries that will be involved;
 - the rationale for a group effort; and
 - the roles and responsibilities of all parties during the planning grant.

2. DESCRIPTION OF RECENT PLANNING ACTIVITIES:

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

3. ESTIMATED BUDGET:

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 \$20,000 for a single library system, and \$35,000 for a multi-library collaborative project. Costs exceeding the grant award must be paid from local sources.

4. BUDGET EXPLANATION:

Provide a clear explanation of the proposed budget to assist grant reviewers.

- a. Attach a document from the proposed consultant that delineates how the consultant costs will be calculated, e.g. personnel costs, travel costs, meals, document production, etc. . (If the consultant’s rates are inclusive of expenses such as mileage, this should be clearly noted.)
- b. If applicable, identify and explain any additional expenses that will be incurred by the library and paid with local funds.

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

Attach the information requested below.

- 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, the minimum number of hours each individual 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 technology 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. *Clearly identify two projects comparable in size to the proposed project.*

6. AUTOMATED SYSTEM PLANNING:

Only those libraries intending to use the Technology Planning Grant to prepare for purchase of an automated system must answer the questions in this section.

- a. Will an expected outcome of work with the consultant under the Technology Planning Grant be delivery of a Request for Proposal to solicit bids for an automated system?

YES _____ NO _____

All RFPs must meet the *Minimum Standards for Library Automation in North Carolina*.

- b. Provide information about your current automated system or modules:

Vendor Name _____ System _____

Module	Year Installed	Year of Last Upgrade

- c. Does the current system meet the *Minimum Standards for Library Automation in North Carolina*? See URL < <http://statelibrary.dcr.state.nc.us/lsta/minstds.pdf> >.

YES _____ NO _____

- d. If the existing system does not meet the minimum standards, how is it deficient? For the most critical deficiencies, cite specific standards (e.g., 3.1 Circulation Systems Display) and an explanation telling how your existing system is deficient in meeting the cited standards. *Provide on an attached sheet, not to exceed one page.*

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/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.

APPLICATION CHECKLIST: A complete application package will include:

- _____ Application signature page signed by appropriate persons.
- _____ Complete proposal that responds to every required section of the application.
- _____ Complete budget table, with figures that add up correctly.
- _____ Budget explanation.
- _____ **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.*

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	

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.

Do not include this instruction page with your application.