

**EZ- LSTA BASIC EQUIPMENT GRANTS
1998-99
Information & Guidelines**

**State Library of North Carolina
Library Services & Technology Act - Internet Connectivity Grant Program**

What is this grant program?

This grant program is intended to help eligible libraries have sufficient up-to-date workstations to ensure that their users have access to the on-line electronic resources provided through the Internet and NC LIVE. It is designed to help libraries meet minimum levels of adequacy in the numbers of workstations they make available to their users. These grants are to fund only the most basic hardware/equipment needs (i.e. workstations); Enhanced Connectivity Grants are being offered to accommodate more advanced network infrastructure.

This grant program helps achieve Objective 1.2 of the *Library Services & Technology Act Plan for Implementation in North Carolina, August 1997* (available at URL <<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>).

Who may apply?

The 186 NC LIVE Phase #1 libraries are eligible to apply for these grants: community college libraries; public libraries that qualify for the Aid to Public Libraries fund; libraries serving the 16 University of North Carolina campuses; and libraries in the 36 institutions that are members of the North Carolina Association of Independent Colleges and Universities.

Only one Basic Equipment Grant application may be submitted by an eligible public library system or academic institution per grant 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).*]

What amount of funds may be requested?

The maximum grant request is \$10,000; the minimum grant request is \$2,500.

How may the grant funds be used?

Grant funds may be used to purchase computer hardware for user Internet access; funds may also be used for essential supporting equipment, software and one-time services. Equipment may include initial **computer hardware**, e.g. public access workstations, sufficient memory, storage, peripherals (i.e. printers, modems); and **computer furniture**. Basic operating and communications **software** to access the Internet and the electronic resources of NC LIVE may

be included in costs; however, add-on or separate software is not an eligible expense (e.g., Microsoft® Word for Windows®, Microsoft® Office). One-time services may include any **wiring** and **installation** charges. Network computers (or “thin clients”) are not allowable purchases under this grant program. Proposed hardware purchases **must meet or exceed** the “Minimum Specifications for New Purchases” (page 8).

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

Are local matching funds required?

No local matching funds are required for a Basic Equipment Grant.

What projects will receive priority for funding?

To be eligible for consideration, an application must be received by the deadline and all proposed equipment purchases must meet or exceed the “Minimum Specifications for New Purchases” (page 9). The following factors and criteria will be used to determine priority for funding among the eligible applications.

I. Need and Impact on Adequacy

- What is the library’s current number of workstations for user access to the Internet and NC LIVE resources? (*Note: The total number of workstations for user access at all library locations within the organization will be considered in determining need.*)
- According to the workstation adequacy chart (pages 7, 8), how many user access workstations **should** the library have in order to meet minimum adequacy defined for this grant round?
- What impact will this project have on the library’s progress toward meeting guidelines for minimum workstation adequacy?

II. Readiness

- The connections or wiring for the workstations are already in place or are budgeted.
- The library has in place plans and procedures to provide technical support to keep the Internet workstations functioning.
- A strategy for staff training is planned or in place. This strategy insures that staff have the necessary skills to effectively use Internet resources and to help patrons use Internet resources effectively.
- The library has an Acceptable Use Policy in place for user Internet access.

III. Local Commitment

- To be eligible to receive a grant, a library or its parent institution or governing body must have an approved policy in place to assure that computer workstations are upgraded at three-to-five-year intervals.

These grants are designed to assist libraries in *increasing* the number of workstations available for users; future upgrades and replacement of these workstations are a local responsibility. In future years, the State Library will include a library's history of grants for computer workstations as a factor in evaluating grant applications that request funds to support the purchase of new workstations. Funds will not be awarded to *replace* existing workstations.

IV. Ability to Pay and Local Effort

Two additional factors will serve as measures of institutional need *if all other factors are equal in the review of a group of grant proposals*. Those are:

- The relative resources available to fund library services from local government or within an academic institution—that is, the per capita local tax base or the per FTE institutional resources will be used as a measure of its **ability to pay** for services locally.
- The relative **local effort** in supporting library services—that is, per capita support of a public library or, for academic libraries, the library operating expenditures as a percentage of the Educational and General Expenditures for the academic institution.

The data is from the following sources:

- For public libraries, the data is based on information compiled and analyzed by the Public School Forum of North Carolina in their publication *1997 North Carolina Local School Finance Study* (Public School Forum of North Carolina, 1997) and from *Statistics & Directory of North Carolina Public Libraries—July 1, 1996-June 30, 1997* (State Library of North Carolina, 1997).
- For community colleges, the average annual FTE is from Table 26 “Curriculum and Regular Budget Extension Programs Sub-Total FTE—1996-97” in the *Annual Statistical Report* (North Carolina Community College System, 1997).
- For public and private colleges and universities, FTE data are those collected for IPEDS and NCHEDS with the following definition: *For institutions of higher education, enrollment of full-time students, plus the full-time equivalent of part-time students as reported by institutions. In the absence of an equivalent reported by an institution, the FTE enrollment is estimated by adding one-third of part-time enrollment to full-time enrollment. This data element includes only resident-credit enrollment in courses basic to or creditable to a bachelor's or higher degree.*

- For all the post-secondary institutions, the Education and General Expenditures and library operating expenditures are from unpublished data collected from each institution for the Integrated Postsecondary Education Data System (IPEDS). Library operating expenditures are from IPEDS data submitted by the institutions and published in the *Statistical Abstract of Higher Education in North Carolina 1996-97* (The University of North Carolina, 1997).

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

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. on the published due date for each grant type and grant round.
- 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. Final decisions will be made by State Library Senior Management.
- 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 award dates provided in the grant timeline.
- EZ-LSTA grant procedures allow for appeals of funding decisions. Awards are not final until the appeals process is completed.
- No grant funds may be encumbered or expended until the library receives the final executed grant agreement signed by library representatives and the State Librarian.

How are grant payments made?

Libraries must expend local funds first. They will then be reimbursed for *actual* project expenses up to the grant amount awarded. All grant payment/reimbursement requests **must** be received or postmarked by **April 15, 1999**.

The State Library understands that cost of computer equipment changes rapidly. If the proposed equipment is purchased for less than the grant award amount, the library must obtain State Library approval to use the balance of the grant funds. The State Library does not guarantee approval for additional purchases in order that all grant funds can be used.

What reports must grantees make?

As part of the evaluation process for this grant program, all grant recipients must complete a report on the grant. It will be due to the State Library by August 31, 1999. The report will include a summary of grant expenditures and appropriate anecdotal descriptions of the grant's impact on user access to the Internet and NC LIVE resources. The State Library will provide a form for the grant report.

What else do applicants need to know?

Because these grants are from federal funds administered through a state agency, all grantees must meet required federal and state provisions. (See **Grant Provisions**, page 10.)

Grant program timeline:

These are the deadlines that apply to the three rounds of 1998-99 Basic Equipment Grants.

| | |
|-------------------|--|
| May 27, 1998 | Guidelines and application available to libraries |
| July 17, 1998 | Applications Due* (Round 1) |
| September 1, 1998 | Announcement of funded projects (Round 1) |
| October 1, 1998 | Applications Due* (Round 2) |
| November 20, 1998 | Announcement of funded projects (Round 2) |
| December 10, 1998 | Applications Due* (Round 3) |
| January 29, 1999 | Announcement of funded projects (Round 3) |
| April 15, 1999 | Final postmark date to submit reimbursement requests |
| June 30, 1999 | Date by which all federal grant funds must be spent |
| August 31, 1999 | Final report due to State Library |

** Received by 5:00 p.m. in the State Library's Library Development Section Office, Room 210, Archives & State Library Building*

Where do I apply?

Completed application forms should be sent to the address below. Send 15 copies, 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 the published due date for each grant round (*see timeline above*):

LSTA Grant Applications
Library Development Section, Room 210
State Library of North Carolina
Archives & State Library Building
109 East Jones Street
Raleigh, NC 27601-2807

For further information contact:

Penny Hornsby, State Library of North Carolina, Library Development Section; telephone: 919.733.2570; or e-mail: phornsby@hal.dcr.state.nc.us.

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MEASURES OF NEED FOR BASIC EQUIPMENT GRANTS

USER ACCESS TO THE INTERNET & NC LIVE

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

During the 1998-99 year, applications will be evaluated based on the total number of workstations available to users in an academic library or a public library system—not on the basis of the number of workstations in a single facility. For this grant round, decisions about the allocation of workstations among facilities is considered to be a local management decision.

Academic Libraries

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

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

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

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

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

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

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

Public Libraries

The North Carolina Public Library Directors Association (NCPLDA) is establishing standards for public library service in North Carolina. In that process, they have determined that 1 workstation per 2,500 legal service population should be the goal of public libraries in North Carolina. In addition, the State Library is working to assure that every public library outlet has at least one workstation available for user access to the Internet and NC LIVE.

The State Library supports those measures as appropriate goals; however, for the purposes of this grant program in 1998-99, the following measure will be used to help in setting priorities for funding and to assist libraries in moving toward the NCPLDA standard:

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

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

MINIMUM SPECIFICATIONS FOR NEW PURCHASES

Workstations for user Internet access

| Hardware Specifications for New Purchases | |
|--|---|
| | 5/1/98 |
| Component | Minimum |
| | |
| CPU | 300 MHz Pentium or equivalent |
| RAM | 32MB (preferably expandable to 128MB) |
| Hard Disk | 2.1 GB |
| Floppy Disk | 3.5" high density (1.44 MB) |
| CD-ROM | 16x |
| Video Display Card | 2MB VRAM |
| Monitor | SVGA 15" or 17" |
| Modem OR Network Card | 33.6 kbps or Network adapter appropriate to the LAN environment |
| Printer | 600 dpi ink-jet or laser |
| | |

These specifications were adopted by the State Library of North Carolina on May 1, 1998, for purchases under the 1998-99 LSTA grant program.

Grant Provisions

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

- A. Official notification of the grant award must be received from the State Library and an agreement signed by both the representatives of the library and the State Librarian before any funds may be encumbered or expended for the project.
- B. Grantees must expend grant funds in accordance with required state and local procedures, 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.
- C. 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.
- D. Purchases made from grant funds must be carried out to ensure free and open competition to the extent possible (state and federal regulations available upon request). Libraries eligible to purchase under state contract may use this option for grant purchases.
- E. 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 for five years following purchase. Items costing \$5,000 or more shall be listed until no longer needed for the project or at the end of useful life. If fair market value at the time of surplus or disposal exceeds \$5,000, disposal must be cleared with the State Library.
- F. Public relations releases concerning the project, or any publications or materials produced as a part of the grant project, must acknowledge that the project is ____% supported with federal LSTA funds administered by the State Library of North Carolina, a division of the Department of Cultural Resources. Four copies of any publications or materials produced under the grant must be submitted to the State Library.
- G. 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. (Applicable Federal Acts: 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; subject to certain exceptions, Title IX of the Education Amendments of 1972.)
- H. Grant funds must be audited in compliance with state and federal audit requirements for local governments and public authorities, institutions of higher education, and non-profit organizations, and, if applicable, according to the standards of the Single Audit Act of 1984 as amended 1996 and Circular A-133 "Audits of States, Local Governments, and Non-Profit Organizations" as supplied by the Executive Office of the President, Office of Management and Budget, Washington, D.C. (These are standard audit requirements for most institutions eligible for this grant program. If you have questions about this requirement, please contact Penny Hornsby at the State Library.)

**EZ- LSTA BASIC EQUIPMENT GRANTS
1998-99
Application**

**State Library of North Carolina
Library Services & Technology Act - Internet Connectivity Grant Program**

DUE DATES: *Round #1 - July 17, 1998, 5:00 p.m.*
 Round #2 - October 1, 1998, 5:00 p.m.
 Round #3 - December 10, 1998, 5:00 p.m.

SEND a total of **15 copies, 1 with original signatures in blue ink** to: LSTA Grant Applications; Library Development Section, Room 210; State Library of North Carolina; Archives & State Library Building; 109 E. Jones Street, Raleigh, NC 27601-2807.

1. APPLICANT LIBRARY: _____

2. MAILING ADDRESS: _____

3. CONTACT PERSON / TITLE _____

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

5. GRANT REQUEST: _____ \$ _____
Total grant amount requested (maximum \$10,000, minimum \$2,500)

To complete this application attach pages with responses to items # 7-15.

6. 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 duly authorized by the appropriate authorities of the applying institution.

Type name of library director

Type name/title of other authorizing official
(local government / institutional representative)

Signature, Library Director

Signature, above official

Date

Date SLNC 5/98

7. BUDGET:

Round all amounts to whole dollars.

| | <u>Quantity</u> | <u>Unit Cost</u> | <u>Total Cost</u> |
|---|-----------------|------------------|-------------------|
| a. Workstations | _____ | _____ | _____ |
| b. Modems or Network Cards | _____ | _____ | _____ |
| c. Printers | _____ | _____ | _____ |
| d. Other Computer Hardware | _____ | _____ | _____ |
| e. Software | _____ | _____ | _____ |
| f. Furniture | _____ | _____ | _____ |
| g. Wiring | _____ | _____ | _____ |
| h. Installation | _____ | _____ | _____ |
| i. TOTAL ESTIMATED COSTS (total of a.-h. above) | | | _____* |

* Grant funds requested must equal at least \$2,500, but cannot exceed \$10,000. Costs exceeding the maximum grant amount of \$10,000 must be paid from local sources.

8. BUDGET EXPLANATION:

Provide a detailed description of equipment that will be purchased (brand names, type, models, specifications), specific affiliated software packages, and explanation of any wiring and installation costs. Be sure to include complete specifications for **all** equipment. (See worksheet on next page.)

- Applications that do not include **complete** specifications for equipment will **not** be considered for funding.
- Applications that request funding for equipment that does not meet or exceed the "Minimum Specifications for New Purchases" will **not** be considered for funding.

8. b. Worksheet

Fill out this worksheet to indicate make, model #'s and **complete** specifications for all the equipment you plan to purchase for this project. Attach a copy of this worksheet to your grant application. Make extra copies of the worksheet if necessary.

| General description of the computers/equipment you plan to purchase: | | |
|---|---|--------------------------------------|
| Hardware Specifications | | Grant Purchase Specifications |
| Component | Minimum Required | Basic Equipment |
| CPU | 300 MHz Pentium or equivalent | |
| RAM | 32MB (preferably expandable to 128MB) | |
| Hard Disk | 2.1 GB | |
| Floppy Disk | 3.5" high density (1.44 MB) | |
| CD-ROM | 16x | |
| Video Display Card | 2MB VRAM | |
| Monitor | SVGA 15" or 17" | |
| Modem OR Network Card | 33.6 kbps or Network adapter appropriate to the LAN | |
| Printer | 600 dpi ink-jet or laser | |

Applicant Library _____

9. USERS AND RESOURCES:

A. Complete the appropriate space below to show the number of eligible library users.

For community college libraries:

Use data from Table 26 "Curriculum and Regular Budget Extension Program Sub-Total FTE—1996-97" posted at URL < <http://statelibrary.dcr.state.nc.us/lsta/lsta.htm> >.

Source: *Annual Statistical Report* (North Carolina Community College System, 1997)

| | |
|--------------|--|
| FTE Students | |
|--------------|--|

For libraries serving public and private colleges and universities:

Use data from Table 5 at URL < <http://www.ga.unc.edu/planning/abs96/tab05.lst> >.

Source: *Statistical Abstract of Higher Education in North Carolina, 1996-97* (The University of North Carolina, 1997).

| | |
|--------------|--|
| FTE Students | |
|--------------|--|

For public libraries:

Use data from Table 1, Public Library Profile, at the State Library's web site:

<<http://statelibrary.dcr.state.nc.us/ld/plstats9697/t1profile.htm>>.

Source: *Statistics & Directory of North Carolina Public Libraries, July 1, 1996 - June 30, 1997* (State Library of North Carolina, 1997).

| | |
|-------------------------------|--|
| Legal Service Area Population | |
|-------------------------------|--|

Definitions:

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

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

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

10. PROJECT DESCRIPTION:

Describe the project you wish to carry out. How will this project help you provide sufficient up-to-date workstations to ensure your users have access to the online electronic resources provided through the Internet and NC LIVE? *Use only the space provided below.*

11. PROJECT TIMELINE:

List the sequence of project activities with expected completion dates. Remember to accommodate institutional approval process and grant program deadlines. *Use only the space provided below.*

12. TECHNICAL SUPPORT:

Describe plans to provide technical support to keep the workstations functioning (e.g., # FTE hours devoted to support, # library hours technical support will be available, service contracts). *Use only the space provided below.*

13. STAFF TRAINING:

Describe plans for staff training in effective use of the Internet (e.g. continuing education budget, workshops planned, staff responsibility). *Use only the space provided below.*

14. EQUIPMENT REPLACEMENT:

Attach a copy of the appropriate local policy for regular equipment replacement and the date adopted.

15. ACCEPTABLE USE POLICY:

Attach a copy of the library's Acceptable Use Policy for user Internet access and the date adopted.