

## LSTA Application Instructions and Application for 2021-2022 Project Grants

### Section 1, APPLICATION INSTRUCTIONS

- A. Complete and submit the [2021-2022 Letter of Intent \(LOI\) Application](#) by **November 1, 2020**. Be familiar with and understand the [Guidelines](#) available online; contact the State Library with any questions.
- B. Use the Application Form in Section 2 to provide responses to the numbered items below.
  - For single year grants, **12 page maximum** including the budget table; Online Signature Page not included in maximum
  - For two year grants, **13 page maximum** including the budget table; Online Signature Page not included in maximum
  - For three year grants, **14 page maximum** including the budget table; Online Signature Page not included in maximum
- C. Provide additional/supplemental information, as needed.
- D. Complete and submit the [LSTA Online Signature Page](#).
- E. Email the signed LSTA Online Signature Page and the Application Form as one attachment to [LSTA@ncdcr.gov](mailto:LSTA@ncdcr.gov) by **11:59 PM on March 1, 2021**.

#### 1. PROJECT TITLE (20 character maximum)

##### **Use/modify response from Letter of Intent.**

Provide a title that briefly describes your project. This will distinguish between multiple applications from the same library and it will help others who may be interested in the project's topic to quickly know what it's about.

#### 2. ABSTRACT

##### **Use/modify response from Letter of Intent.**

Clearly and concisely summarize the project in 90-160 words; use this same text for the LSTA Online Signature Page. Abstracts for all grant awards will be available online so write for a public audience and avoid acronyms, abbreviations, individual's names, dollar amounts, etc.

#### 3. LIBRARY USERS AND NEED (use a - b to identify each response separately)

##### **Use/modify response from Letter of Intent.**

- a. Who are the current or potential library users this project will benefit?
- b. State the need and describe how the need was determined.

#### 4. PROJECT DESCRIPTION (use a - e to identify each response separately)

##### **Use/modify response from Letter of Intent.**

Provide responses to each of the following that will cover the entire scope of the project.

- a. What do you want to do to solve or address the need stated above in #1? Include target numbers for what will be better or different for library users. For example: How many classes do you plan to offer? How many participants are expected to attend? How many additional computer hours will be available to library users? How many additional library users will be able to use the computers?
- b. Why was this solution selected? Why not something else?
- c. If this project is successful, what outcome(s) will result from this grant?
- d. A successful project may set an expectation that the library will continue to offer the program/service after the funding period has ended. How will the library sustain the programs/services offered through this grant for library users? How will the library replace/update hardware or equipment purchased for this project when it ages out?

- e. Provide the name any project partner(s), describe their contribution to the project, explain their roles and responsibilities in the project, and describe the benefit and potential impacts of the project to the partner.

**5. EVALUATION** (use a - b to identify each response separately)

How will you measure and document the success of this project? Describe the methods that will be used to gather information and determine whether the library has achieved the project goals.

- a. Before and after data is important to accurately measure and report effectiveness. How will you document before and after “outputs”, or countable products (the number of workshops taught, the number of objects scanned, or the number of website views)?
- b. How will you determine whether the project reached or moved toward the project goals? How will you document the “outcomes”; the changes brought about, in part, because of the project in the target audience’s behavior, attitudes, skills, knowledge, status, or life condition?

**6. PREPARATION**

**Use/modify response from Letter of Intent.**

Describe the process used to plan the proposed project. Did the library have a planning grant? What organizations were represented in the planning? What key steps have been carried out in the planning process, including meetings held by the planning group, etc.? What partners, if any, are anticipated in this project?

**7. LENGTH OF PROJECT**

**Use/modify response from Letter of Intent.**

How many years are proposed for this project? If more than a single year, explain why implementing the project requires more than one year.

**8. PROJECT TIMELINE for this year of the project**

**Use/modify response from Letter of Intent.**

Complete a table that shows: the timeline of project actions/activities, expected completion dates, and who is responsible for that part. Identify the percentage of time each staff member will dedicate to the project. The timeline should have at least one entry for each month of the funding period and should be prepared in consultation with any partner(s). Include details such as planning meetings, training, testing, significant project targets and milestones, outreach to the potential audience(s), and evaluation activities. Be sure to allow for the local institutional approval process and grant program deadlines.

**Multi-year Projects**

Provide a separate table for each year of the project.

**9. MATCHING FUNDS**

**Use/modify response from Letter of Intent.**

- a. Identify the % of matching funds required: 25%, OR 10% if this project has a partner that will contribute specific deliverables to the project in a new or expanded way, as described in #4 (e). Required Matching Funds are calculated against the Total Project Cost (less IDC). To calculate the required match, select method #1 or #2:
  - 1. Add all budgeted costs together to obtain a Total. To determine the required match, divide the Total by 4 for 25% match or divide by 10 for a 10% match
  - 2. Add all budgeted costs together to obtain a Total. To determine the required match, multiply the Total by .25 for 25% match or multiply by .10 for a 10% match
- b. Identify the source(s) of matching funds such as a partner, Friends group, foundation, local business, library budget, etc.

**10. BUDGET** - use the following Budget Categories (A-F and H) to identify and describe all LSTA and matching expenditures.

**A. Salaries/Wages/Benefits**

Include all salaries, wages, and benefits paid to staff at the lead library that are directly contributing to the project; include position titles (but not names) and number of FTEs (full time equivalent) in description.

**B. Consultant Fees**

All expenses related to acquiring the services of a consultant for a specific activity within the project are included in this category. Include all fees, travel, accommodations, and support services incurred and invoiced by the consultant.

**C. Travel, library staff**

Travel costs must be related to the project activities and incurred by library staff of the lead library working on the project. Costs include airfare, ground transportation, accommodations, meals, etc.; include number of travelers and types of travel expenditures.

**D. Supplies/Materials**

Costs for consumable items necessary to carry out the project, such as print books, e-books, audiobooks, DVDs and/or technology or hardware such as computers, laptops, tablets, printers, e-readers, etc. with a per item cost under \$5,000. Group items together by type or program, for example: Instead of listing each of these items on a separate row, group them together like this – Supplies for Learning Center (6 sets of books, easel, sand table, board games, manipulatives, puzzles, rug).

**E. Equipment that exceeds \$5,000 per item**

Only nonexpendable, tangible property with a per item acquisition cost over \$5,000 should be listed here. Note that each item requires written approval from the State Library prior to purchase and each item will be inventoried annually for the remainder of its useful life.

**F. Services**

Activities provided by a third-party contractor or vendor; provide the name of the service, the vendor, and the cost for each vendor.

**G. Subtotal**

Total the Matching Funds and LSTA Funds columns.

**H. Indirect Costs** may not be charged against Matching Funds or Cost Share in this program. Calculate the Indirect Costs based off the LSTA Funds subtotal in row G.

Select ONE of the following:

- Option 1: The library chooses not to include Indirect Costs.
- Option 2: The library chooses a rate not to exceed 10% of modified total Direct Costs AND declares it is eligible for the 10% rate; supporting documentation will be required with the Grant Agreement.
- Option 3: The library has a rate of \_\_\_\_ % that has been negotiated with a federal agency; supporting documentation will be required with the Grant Agreement.

**Budget Table**

**Use/modify response from Letter of Intent.**

Use the table below to prepare your budget. List all proposed grant and matching expenditures with a brief description for each item that will help reviewers understand how the money will be spent in support of the project. Add rows as needed. Attach quotes where appropriate.

**Multi-year Projects**

Provide a separate table for each year of the project.

	Budget Category – see descriptions above	Quantity of Items	Cost per Item	Matching Funds	LSTA Funds	Total Funds
<b>A</b>	<b>Salaries/Wages/Benefits</b>					

	Use separate row(s) for each staff person	1				
<b>B</b>	<b>Consultant Fees</b>					
	Use separate row(s) for each consultant	1				
<b>C</b>	<b>Travel, library staff only</b>					
	Use separate row(s) for each staff person	1				
<b>D</b>	<b>Supplies/Materials</b>					
	Group items together by type or program					
<b>E</b>	<b>Equipment that exceeds \$5,000 per item</b>					
	List multiples of the same type on one row; use separate row(s) for each different type.					
<b>F</b>	<b>Services</b>					
	Use separate row(s) for each service provider	1				
<b>G</b>	<b>Subtotal</b>					
<b>H</b>	<b>Indirect Costs (IDC): applicants must choose one, IDC may only be charged against LSTA Funds.</b>					
	<input type="checkbox"/> The library chooses not to include Indirect Costs. <input type="checkbox"/> The library chooses a rate not to exceed 10% of modified total Direct Costs AND declares it is eligible for the 10% rate. <input type="checkbox"/> The library has a rate of _____ % that has been negotiated with a federal agency.					
<b>I</b>	<b>Total Funds Requested</b>					
	Round up to nearest dollar; use this total to enter in Online Signature Page.					

**LSTA ONLINE SIGNATURE PAGE**

A Project Manager, which may or may not be the library director, needs to be identified on the Signature Page. The Project Manager is the primary contact between the applicant library and the State Library for the life of the project. It is expected that when questions arise about expenditures, reimbursements, reporting, and anything else related to the grant, the Project Manager will be the State Library’s primary point of contact.

It may take a few days or a few weeks for your organization to obtain the required signatures so be sure to plan enough time for your local situation. Once the LSTA Online Signature Page has been submitted, the project manager will receive an email with a PDF file of the completed in form. Print the emailed PDF file, obtain the required signatures in blue ink, scan the signed LSTA Online Signature Page and the Application Form (in that order) and email as one attachment to [LSTA@ncdcr.gov](mailto:LSTA@ncdcr.gov). Include the library name and Project Title in the subject line.

**ADDITIONAL QUESTIONS: PLANNING AND DIGITAL PROJECT GRANTS ONLY**

**PLANNING GRANTS**

**PL1. STAKEHOLDER INVOLVEMENT:** Describe how the library proposes to involve the community in the planning efforts (e.g., current or potential library users, trustees, community residents, community leaders, local government officials, institution staff and administration, local IT staff).

**PL2. CONSULTANT INFORMATION** (use a - e to identify each response separately)

The following information is needed for the selected consultant(s).

- a. Consultant/consulting firm name and address;
- b. Describe the type of planning you wish to carry out and why this consultant was chosen for this project;
- c. Describe the consultant's key responsibilities in the planning process;
- d. **Attach** budget information from the proposed consultant (2 page maximum) that shows how the costs for services were calculated including, but not limited to, projected hours/days to be worked, fees, travel expenses, and other project related expenditures; and
- e. **Attach** a brief resume (4 page maximum) that includes three organizations, with contact names, addresses, and telephone numbers, for which the consultant has performed similar planning activities during the past five years.

### **DIGITAL PROJECT GRANTS**

Digital project applications must focus on topics important to the cultural heritage of North Carolina and improving access to the state's special collections. The majority of materials that will form the basis of the proposed project must be owned by the applicant library and projects with content of broad significance / interest are strongly preferred. Prior to applying for this grant, prospective applicants should have:

- Reviewed information about [planning a Digital Project](#);
- Identified the materials that will form the basis of the digital project;
- Surveyed other existing digital collections to determine whether the materials are already freely available online;
- Reviewed the physical condition of materials to be digitized to be sure that they can be handled and digitized without causing significant harm to the originals;
- Ensured that materials are arranged and described with adequate access points (finding aids, indices, catalog records, and/or inventories);
- Reviewed all documents related to the donation of the materials to ensure that the library has clear and undisputed ownership of the materials to be made available online;
- Reviewed the rights status of all materials to be digitized, to determine whether or not they are in copyright and, if in copyright, whether or not the library has permission to or is justified in sharing the items online\*\*; and
- Surveyed existing technological capacity and identified areas of need for project completion and sustainability.

\*\*North Carolina Digital Heritage Center staff can assist in making this assessment if needed.

### **D1. SCOPE, CONTENT, AND NEED**

- a. Succinctly describe the materials, including quantity, that you propose to digitize and make available.
- b. How are materials to be included in the digital project currently arranged and described (finding aids, indices, catalog records, and/or inventories)? **Attach a two-page sample.**
- c. How are these materials important to the cultural heritage of North Carolina? If the materials have statewide significance, please describe.

**D2. RIGHTS AND PERMISSIONS:** Describe the process the library, and/or any partners, have taken to determine the rights status of the materials to be included in the digital project, and the determinations made regarding the ability to digitize and share those items online. Be sure to mention any documentation obtained from rights holders, if applicable.

### **D3. DIGITIZATION**

Describe the standards and best practices to be used for digitization. Digital Projects that include digitization of materials must, at a minimum, follow the standards and practices outlined in [North Carolina's Digitization Guidelines](#). Applicant libraries and all partners are required to provide Certification of Local Commitments (see Appendix A).

### **D4. ACCESS**

What methods of digital access (cataloging, indexing, online mark-up, etc.) are you planning to use for your proposed project? Describe what kinds of metadata you will use and why. (At a *minimum*, this grant program requires 1) Dublin Core metadata at the collection level on the presentation web site and/or 2) MARC cataloging of library materials in a library online system with the appropriate linkage between the online version and the online catalog record via the MARC 856 field.)

**D5. CAPACITY AND SUSTAINABILITY** (use a - b to identify each response separately)

- a. List the staff who will participate in the project and describe their expertise in the following areas: cultural heritage collections, including general management as well as traditional methods of preservation and access; digitization; web presentation; information technology support; and grant management.
- b. Describe the information technology infrastructure and institutional support available to host, deliver, and maintain the digital product.

**D6. OUTSOURCING** (use a - c to identify each response separately)

If you are planning to outsource any portion of your project, include the following:

- a. State exactly what services the vendor will be providing and your rationale for selecting these services (including justification of cost effectiveness).
- b. Describe your selection criteria and how you chose your selected vendor.
- c. Note any prior experience you have had with this vendor and describe any trial or demonstration you undertook during your planning process.

**D7. PARTNER COMMITMENT LETTERS**, if applicable (others respond with N/A)

Attach a letter from each partner institution (maximum length two pages per letter) that discusses the following:

- a. The activities the partner institution has employed in their planning of this project;
- b. Any prior experience the partner institution has in digital projects, digitization, and/or collaborative ventures;
- c. The institution's understanding of its role in and support of the proposed project - both during the project's activities and for the long-term sustainability of the digital materials;
- d. Whether this partner will digitize or encode any or all of its material on site at the partner institution's location;
  - any additional work this partner will do for the project. For example, will this partner contribute to the development of any contextual material that will be used in the online presentation of the digital material? Is this institution serving in or providing any other role (e.g. team leader, partner meeting facilitator or host)?
  - ownership of any equipment purchased by the lead project agent using LSTA funds following the completion of the grant project; and
  - supervisory responsibility for any project staff hired.

**D8. CERTIFICATION OF LOCAL COMMITMENTS, APPENDIX A**

Attach one completed Appendix A with your application, plus one for each partner.

**DIGITIZATION PROJECT GRANT  
CERTIFICATION OF LOCAL COMMITMENTS, APPENDIX A**

Each partner (including the lead library or single library applicant) that participates in an LSTA Project Grant for digitization must certify the following. To do so, the Director or CEO of each partner should **initial to the right of each statement and sign below.**

- The copyright of materials to be reproduced digitally or made available online by this grant program are a) in the public domain, b) held by the library or one or more of the grant project partners, c) used by the library or project partners with the written permission of the copyright holder for publication on the World Wide Web, or d) materials that will be used pursuant to fair use governed by the Copyright Act, 17 USC § 107 et seq. The entity holding copyright agrees to the publication of digital copies of their materials as specified in this document on the World Wide Web. \_\_\_\_\_
  
- All materials proposed for digital reproduction using funds from this grant are stored in appropriate preservation enclosures and are under stable environmental (humidity, light, and temperature) conditions. \_\_\_\_\_
  
- All materials proposed for digital reproduction using funds from this grant have appropriate forms of "traditional access": finding aids and/or library online catalog records or museum registrar records. \_\_\_\_\_
  
- All materials proposed for digital reproduction using funds from this grant will have master and access images created and stored in appropriate resolution, format, and storage media, as described in [North Carolina's Digitization Guidelines](#). \_\_\_\_\_
  
- All digital products created using funds from this grant will incorporate appropriate Dublin Core and MARC record forms of access. \_\_\_\_\_
  
- All archival finding aids made Web-accessible using funds from this grant will make use of Encoded Archival Description. \_\_\_\_\_
  
- Any digital products created through use of funds from this grant will be made accessible for the long-term over the internet. \_\_\_\_\_
  
- Any digital products created through use of funds from this grant will be maintained and migrated according to current standards and best practices in order to ensure sustainability. \_\_\_\_\_

\_\_\_\_\_  
Signature of Library Director or CEO

\_\_\_\_\_  
Date

## Section 2, APPLICATION FORM

- A. Using the format below, start the application by copying/pasting the numbered items below into a new document and typing responses under each number and heading.
- B. Use a size 12 font and single spacing.
- C. Insert the institution/library name, Project Title, AND page numbers in the document footer.

### 1. PROJECT TITLE

### 2. ABSTRACT

### 3. LIBRARY USERS AND NEED

- a.
- b.

### 4. PROJECT DESCRIPTION

- a.
- b.
- c.
- d.
- e.

### 5. EVALUATION

- a.
- b.

### 6. PREPARATION

### 7. LENGTH OF PROJECT

### 8. PROJECT TIMELINE

Insert a table.

### 9. MATCHING FUNDS

- a.
- b.

### 10. BUDGET TABLE

Begin a new page; copy/paste the table from the instructions here, then complete it as directed.

**ADDITIONAL QUESTIONS, if applicable** (others respond with N/A)

**PL1 AND PL2 for PLANNING GRANTS**

**D1 – D8 for DIGITAL PROJECT GRANTS**



## 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 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 at the end of the Five Year Plan, or until all audit exceptions have been resolved, whichever is longer.

### 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). See Excluded Parties List System at <https://www.sam.gov>.

### 8. Equipment Purchases and Inventory

Equipment with a per unit price above \$5,000 requires prior written approval from the State Library and will be inventoried annually for the remainder of its useful life. 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 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 Natural and Cultural Resources.”

Copies of any publications or materials produced under the grant must be submitted to the State Library. IMLS logos are available at [http://www.imls.gov/recipients/imls\\_acknowledgement.aspx](http://www.imls.gov/recipients/imls_acknowledgement.aspx)

### 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 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 but is not limited to the following: Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d through 2000d-4); Title IX of the Education Amendments of 1972 (20 U.S.C. 1681-1683); Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794); The Age Discrimination Act (42 U.S.C. 6101 *et. seq*); 45 CFR 1110 - Nondiscrimination in federally assisted programs; 45 CFR 1170 - Nondiscrimination on the basis of handicap in federally assisted programs and activities; 45 CFR 1181 - Enforcement of nondiscrimination on the basis of handicap in programs or activities conducted by the Institute of Museum and Library Services.

### 12. Trafficking in Persons

Grantees must comply with 22 U.S.C. § 7104(g) which prohibits engaging in trafficking in persons, procuring a commercial sex act, or using forced labor.

### 13. 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) 2 CFR 200, Subpart F - Audit Requirements
- North Carolina General Statute 143C-6-23 “State grant funds: administration; oversight and reporting requirements,” and the corresponding rules of North Carolina Administrative Code, Title 09, Chapter 03M, “Uniform Administration of State Grants.”

### LEGAL REFERENCES:

- 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards [address grants and cooperative agreements pertaining to institutions of higher education, states, local governments, Indian tribes, and nonprofit organizations]
- 2 CFR Part 3185 - Nonprocurement debarment and suspension
- 2 CFR 3186 - Requirements for drug-free workplace