

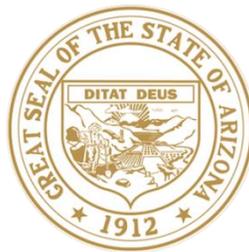
2019 Arizona LSTA Grant Guidelines



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INSTITUTE of
Museum and Library
SERVICES



PROVIDING ACCESS
*Preserving
Arizona*

Arizona State Library,
Archives and Public Records

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What Are LSTA Grants?

Through the Library Services and Technology Act (LSTA), the Institute of Museum and Library Services (IMLS) is able to provide funding to support library services to all 50 states, the District of Columbia, and the Territories. In Arizona, those funds are administered by the Arizona State Library in the form of statewide initiatives, sub-grants, and cooperative agreements.

In order to receive the LSTA allotment from IMLS, the Arizona State Library creates a [Five Year Plan](#) that details its library service goals based on the LSTA purposes and priorities. The goals for the 2018 LSTA grants are to:

- Provide access to information in a variety of formats, tapping the capabilities of current and emerging technologies.
- Support informal educational programs that help Arizona’s residents explore, experience and expand their knowledge.
- Offer inclusive community resources to enhance engagement, to develop workforce skills, and to learn life literacies such as parenting, health and finance.
- Stimulate excellent services in Arizona libraries by improving technology resources, staff skills, programs, and collections.

LSTA grants are awarded for innovative ventures as well as for more traditional projects. Contact a Library Development Consultant to review your project idea!

Important Dates

March 8, 2019	2018 LSTA application electronically submitted and Certification postmarked
May 3, 2019	Grant awards announced
May 17, 2019	Grant funds available
May 17, 2019	Grant recipients workshop or webinar
August 3, 2020	2019 LSTA projects completed; funds fully encumbered
September 4, 2020	2019 LSTA final reports due; funds fully expended

Useful Links

<https://www.imls.gov/grants/grants-state/purposes-and-priorities-lsta>

<http://www.azlibrary.gov/libdev/funding/lsta>

Eligibility Requirements

To be eligible to receive LSTA funds in Arizona, all libraries must meet the following criteria:

- Be open to the public at least 750 hours per year, with regular, posted hours.
- Provide core library services, such as borrowing privileges and computer use, free of charge to all residents within the library's service area. A school or academic library may define its service area as its academic community.

In addition, LSTA-funded projects must directly serve the general public.

Academic Libraries

- Serve a public college or university.
- Agree to:
 1. Provide materials to other Arizona public, regent, or community college members with postage charges capped at \$6 per item.
 2. Write and publish a detailed [Arizona State Library Resource Access and Attainment Policy](#), and provide an electronic copy to the Arizona State Library each time the policy is updated.
- Submit to the State Library all reports in a complete, accurate and timely manner.

Public Libraries

- Receive a minimum of 50 percent of funding from public sources OR be organized as a non-profit.
- Agree to all the provisions in the [Arizona State Library Resource Access and Attainment Policy](#) found on <http://www.azlibrary.gov/libdev/funding/lsta>
- Submit to the State Library annual public library statistics and all other reports in a complete, accurate and timely manner.
- Demonstrate an ability to provide quality virtual information to library patrons.

School Libraries

- Serve a public or charter school in Arizona.
- Participate in resource sharing with other school libraries in the same school district.
- Be managed by a certificated school librarian.
- Submit to the State Library all reports in a complete, accurate and timely manner.

Special Libraries

- Serve as a library for a governmental unit or non-profit organization.
- Upon library request, loan materials to Arizona libraries at no charge.
- Be managed by a librarian with an MLS or Arizona Library Practitioner Certification.
- Provide services to Arizona residents.
- Submit to the State Library all reports in a complete, accurate and timely manner.

Tribal Libraries

- Be recognized and supported by a tribal government in Arizona.
- Submit to the State Library annual library statistics and all other reports in a complete, accurate and timely manner.
- Demonstrate an ability to provide quality virtual information to patrons.

Allowable and Unallowable Costs

Most costs reasonable, allocable and applicable for the proper and efficient administration of a grant project are allowable costs that **may be proposed** as budget items in an LSTA grant application. Grant funds may be expended for the items identified as allowable costs in the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (2 CFR 200).

Examples of allowable costs include:

- Salaries and benefits of temporary personnel hired specifically for the grant
- Consulting or contractual services
- Furnishings that are necessary to support the project
- Hardware, software, and/or technology necessary to support the project
- Indirect costs
- Library materials that are necessary to support the project
- Postage, printing costs and supplies for project materials
- Travel and/or training expenses related to the project for library or project staff

The following costs are unallowable and **may not be proposed** as grant project costs:

- Apparel
- Bad debts
- Construction
- Contingencies
- Contributions and donations
- Entertainment / Performances
- Fines and penalties
- Food
- Gifts, models, souvenirs
- Interest and other financial costs
- Existing staff salaries and benefits
- Under recovery of costs under grant agreements (excess costs for one grant application is not chargeable to another grant application)

Project Grants vs. General Operating Grants

LSTA grants are competitive project grants. A project is defined as a temporary endeavor with a beginning and end that creates a unique product, service, or result. Projects are differentiated from operations, which are the ongoing activities that comprise the day-to-day operations of a library. LSTA grants should fund project costs, not general operational costs. Some operational costs that LSTA Grants will NOT fund include:

- Major infrastructure upgrades (e.g. RFID technology; document, charging, or self-service stations)
- Replacement desktops and laptops
- Vehicles and trailers
- Furnishings not associated with a specific project
- Computers and other electronic devices not associated with a specific project

The only exception to general operating costs is the indirect cost rate for administrative overhead. If you have questions about whether your budget includes operational costs, contact a library consultant.

Review Criteria

Applications will be evaluated based on the following criteria:

- Is the project clearly explained?
- How well does the project address the Arizona LSTA goals outlined in the Five Year Plan?
- Is a community need clearly identified? Does the applicant provide evidence of the community need through community conversations, surveys, publicly available data, or other means?
- Is the project plan thoughtful, realistic, and does it address the identified community need?
- Are the time, personnel, and financial resources identified appropriate and realistic for the scope and scale of the project?
- Is the project likely to make a significant, sustainable difference in the community, now or in the future?
- Is the schedule of work realistic and achievable? Will the project plan achieve the desired outcomes? Does the applicant have the capacity to execute the work effectively or have a plan to meet the needed capacity?

Grant Categories



Information Access

Arizona's residents will have access to information in a variety of formats, tapping the capabilities of current and emerging technologies.

Information Access Grants should address these LSTA priorities:

- Establish or enhance electronic and other linkages and improved coordination among and between libraries and entities for the purpose of improving the quality of and access to library and information services.
- Develop library services that provide all users access to information through local, state, regional, national, and international collaborations and networks.

Examples of Information Access projects include access to ebooks; providing materials for the visually impaired or those with other disabilities; digitization of historical materials; outreach delivery; access through alternative technologies such as mobile hotspots, and electronic resource development.

Information Access Mini-Grant

Collections And Programming (CAP) grants are \$4,000 awards to help libraries enhance materials for targeted audiences. Go to www.azlibrary.gov/libdev/funding/lsta for a link to the online application.

For questions regarding Information Access Grants, contact Mary Villegas, mvillegas@azlibrary.gov, 602-542-6255.

Informal Education

Arizona's residents of all ages will explore, experience, and expand their knowledge through libraries' informal educational programs.

Informal Education Grants should address these LSTA priorities:

- Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages in order to support such individuals' needs for education, lifelong learning, workforce development, and digital literacy skills.
- Target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, and to individuals with limited functional literacy or information skills.
- Target library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.



Examples of Informal Education projects include early literacy STEM programs; digital literacy classes; creative aging workshops; school readiness; and reading programs.

Informal Education Mini-Grant

STEAM in Your Library Mini-Grants are grants of \$3,000 each to enhance informal STEAM education for youth in your communities. Program ideas include STEAM camps, maker fairs, robotic clubs, coding programs, and early literacy STEAM programs. These programs can focus on the child or the parent, but all of them should include a parent education component. Projects may include collection materials and kits. Go to www.azlibrary.gov/libdev/funding/lsta for a link to the online application.

For questions regarding Informal Education Grants, contact Donna Throckmorton, dthrockmorton@azlibrary.gov, 602-542-6257.

Inclusive Communities

Arizona's residents will find resources in libraries to engage with their communities, develop workforce skills, and learn life literacies such as parenting, health and finance regardless of cultural and socioeconomic backgrounds.

Inclusive Communities Grants should address these LSTA priorities:

- Develop public and private partnerships with other agencies and community-based organizations.
- Target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, and to individuals with limited functional literacy or information skills.
- Target library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.



*Book Bike
Tempe Public Library*

Examples of Inclusive Communities projects include job help programs; makerspaces; community conversation programs; community referral; and library “outposts”; and other programs targeting underserved communities or groups.

For questions regarding Inclusive Communities Grants, contact Jaime Ball, jball@azlibrary.gov, 602-542-6266.

Application Worksheet

Answer all parts of these questions. Reference the online application for word counts. As the online application will automatically log applicants out after a period of inactivity, we HIGHLY recommend composing your responses in a separate document and then copying and pasting the responses as plain text into the online application

1. Needs Assessment

- What audiences are you targeting with this project and why?
- What community need or opportunity does your project address?
- How do you know this is a need?
- How does this project relate to your library's mission or strategic plans?

2. Project Outcomes

- What specific change(s) do you intend to achieve with this project?
- Briefly explain why you have selected this outcome, tying it to the Needs Assessment provided.

3. Project Activities

- What will you do, and how will you do it? Give specific information about the types of activities, number of programs, or resources you'll make available.
- What steps has your library taken to prepare for this project?
- Why did you choose this approach for your project? Did you consider any alternative approaches?
- List at least one product or activity that will help you meet the outcome. All products and activities that are a part of your project should be linked to an outcome.

4. Project Evaluation

- Describe what tool(s) or method(s) you will use to evaluate each product or activity listed. Examples include pre- and post-assessments, surveys, focus groups, interviews, and observations.

5. Project Personnel

- Provide a list of the names of project personnel, the organization they represent and their title, and a description of their duties for this project.
- Identify the project director, and explain why he or she is appropriate for this project
- If special skills or expertise are necessary for project personnel, briefly list their qualifications.
- Provide a brief resume for any consultant for whom you are requesting LSTA funds.

6. Partners

- If you are partnering with other organizations for this project, describe each partner's role.
- Include a letter of support from each institutional partner.

7. Timeline/Schedule of Activities

- Provide a timeline that includes planning, implementation and evaluation, and indicates when funds will be spent. Remember, funds are not available before May 17, 2019, and must be spent by September 4, 2020.

8. Sustainability

- Will you continue this project once the grant period has ended? If so, how will you sustain it?

9. Project Summary

Briefly describe the project, by completing the following: The goal of this project is _____. Funds will be used to _____. Community members will benefit because _____.

10. Budget Justification

Provide a detailed explanation and justification of the proposed LSTA expenditures. Quotes, estimates, mileage, and other methods of calculating budget items should be detailed.

11. Budget Form

- a. Complete the budget form for the project described in this application.
- b. Local in-kind services or funds are required for LSTA 2019 grants.

Budget Category	LSTA \$	Local \$	Description
Salaries, Wages, Benefits			
Consultant Fees			
Travel			
Supplies/Materials			
Equipment			
Services			
TOTAL			

Budget Notes

Categories	Notes
Salaries/Wages/Benefits	Includes all salaries, wages, and fringe benefits paid to temporary project staff directly contributing to the project.
Consultant Fees	All expenses related to acquiring the services of a consultant for a specific activity within the project can be included in this category. Costs may include fees, travel, accommodation, and support services hired directly by the consultant.
Travel	Travel costs must be related to the project activities and must be incurred by the staff working on the project. The costs include airfare, ground transportation, accommodation, meals, etc.
Supplies/Materials	Include costs for supplies and materials including computing devices (if the acquisition cost per unit is less than \$5,000) purchased specifically for the project.
Equipment	Means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds \$5,000.
Services	List the costs of project activities to be undertaken by a third-party contractor or vendor. Includes printing, subscriptions, maintenance, etc. Subscriptions must end by September 30, 2019.
Indirect Costs	An Indirect Cost is an organization's incurred cost that cannot be readily isolated or identified with just one project or activity. These types of costs are often referred to as "overhead costs." Typical examples are charges for utilities, general insurance, use of office space and equipment that you own, local telephone service, and the salaries of the management and administrative personnel of the organization. There are four options for indirect costs: <ol style="list-style-type: none"> 1. Count indirect costs as part of your Local Match. 2. Use a current indirect cost rate that has been negotiated with a federal agency. You must email a copy of the current negotiated agreement to the Grants Consultant. 3. Use a rate of 10% of total direct costs if you have never had a federally negotiated indirect cost rate. 4. Do not include any indirect costs.

12. Risk Assessment

- How many years of experience does the project manager have specifically managing grants?
- When was the library's most recent reorganization?
- How many years has the project manager been employed in the applying library's system?
- Does your accounting system identify and track expenditure and receipt of program funds separately for each grant award?

13. The **Certification of Application** must be postmarked by March 8, 2019. Registered or certified mail is recommended.

Frequently Asked Questions

How much money can my library ask for?

Although mini-grants are funded with fixed amounts, the general LSTA grants have no set minimums or maximums. The typical award ranges between \$10,000 and \$50,000. Visit www.azlibrary.gov/libdev/funding/lsta to see a list of recently funded projects.

Can LSTA funds be used to pay for salaries?

Independent contractors may be paid with LSTA funds, but salaries, wages, and/or benefits for existing full-time employees are not allowable.

Can LSTA funds be used to pay for travel?

Travel and per diem expenses may be included only for project personnel at the rate authorized by the State. The most recent authorized rates are available on <https://gao.az.gov/travel/travel-information>

What is the difference between Equipment and Supplies/Materials?

Only items costing more than \$5,000 should be budgeted as equipment; all other items should be listed as supplies.

Are matching funds required?

Local funds, whether in-kind or cash, are required. The amount of match may vary; it does not have to be 1:1. The match must be allowable under LSTA and specifically allocable to the project. Consider staff time spent administering the project or the supplies purchased to support it. Documenting that LSTA leverages local funds is important to IMLS in justifying the program to Congress. If you have questions, please contact a Library Development Consultant.

Is partnering with other organizations required?

Libraries are encouraged to partner with other organizations when applying for LSTA funds. All partners must benefit from the project, and those benefits should be clear in the application. The library must serve as the applicant, and assume fiscal responsibility, if the grant is awarded. Be sure that all potential partners have been contacted before including them in the grant proposal. Include a letter of support from each partner.

My library's project was funded by LSTA last year. Can we apply for funds to continue the project?

LSTA funds are primarily targeted for new projects that serve as models or pilots. Libraries may apply for subsequent phases of a project that is underway. Libraries may also apply for funding of an ongoing project if it reaches new audiences, incorporates new methodologies or significantly expands the reach of the project, throughout the project, not just as an add-on at the end.

What about marketing our project?

You are strongly encouraged to market your LSTA project. LSTA funds for project promotion can be included in your budget, but those funds can only be used to market the grant project. LSTA funds **cannot** be used to market general library services or unrelated projects. If you are unsure about whether the marketing you are planning to include in your project budget promotes your project or general library services, please contact a consultant.

What other requirements are there?

Children's Internet Protection Act (CIPA)

If awarded a grant, public and school libraries must certify that they are CIPA compliant before receiving LSTA funds to purchase computers to access the Internet or to pay for the direct cost associated with accessing the Internet. If funded, you will certify this on a form sent to you by the State Library. For more information about CIPA, go to <http://www.ala.org/advocacy/advleg/federallegislation/cipa/>.

Limited English Proficiency Guidelines

Federal regulations require that grant recipients take reasonable steps to ensure meaningful access to the information, programs, and services they provide to people with limited English proficiency. Please consider language assistance services, if appropriate, when designing your project.

Grant Administration Guidelines

Grant Guidance

Library Services and Technology Act (LSTA) grant funds are provided by the Institute of Museum and Library Services (IMLS), through the Arizona State Library. The grantee assumes the legal responsibility of administering the grant in accordance with the LSTA statutory and regulatory requirements, and the Arizona Revised Statutes. The award is based on the approved grant proposal and budget. The award letter provides notification.

Requesting Funds

Funds must be requested between May 17, 2019 and June 30, 2020. Use the LSTA Funds Request form that will be supplied to successful applicants.

Interest on Grant Funds

It is against federal regulations to put your Federal LSTA funds into interest-bearing accounts, savings accounts or investment-type funds. If interest is earned on LSTA grant funds by the sub-grantee, the amount of the interest **must be refunded** to the Arizona State Library, Archives and Public Records, and subsequently returned to IMLS in Washington.

Project Numbers

A grant number will be assigned to all LSTA 2019 funded projects and should be available at the Grants Recipients Workshop. The Catalog of Federal Domestic Assistance (CFDA) number is 45.310.

Budget Revisions and Programmatic Changes

Subgrantees must not deviate from the approved budget for carrying out the grant project as contained in the awarded grant application unless prior approval is obtained from the Grants Consultant. Similarly, subgrantees must request prior approval for significant departures from approved project plans, including changes in the scope of the project, changes in project objectives, and changes in the project manager or other key project personnel. Change requests must be made in writing to the Library Development Grants Consultant, Janet "Jaime" Ball at jball@azlibrary.gov.

Requirements for Publications and Presentations

All promotion materials, press releases, bibliographies, reports and other such publications resulting from an LSTA grant project must contain the following acknowledgment:

This project is supported by the Arizona State Library, Archives & Public Records, a division of the Secretary of State, with federal funds from the Institute of Museum and Library Services.

If the grant project results in copyrightable material, the subgrantee or any subcontractor of the subgrantee is free to copyright the work. However, IMLS and the State Library reserve a royalty-free, exclusive and irrevocable license to reproduce, publish, or otherwise use and authorize others to use the work for government purposes.

Equipment Inventory Requirements

Grantees must submit and maintain inventory records of all non-expendable personal property, defined as items having a useful life of more than one year and a unit acquisition cost of \$5,000 or more. Inventories of all such property may be conducted to verify the existence, current utilization, and continued need for the property. Disposition of such property shall be in accordance with 2 CFR 200.313.

Grant Close Out Procedures

All funds must be encumbered/obligated by August 3, 2020. All payments using LSTA funds must be completed before the final report is submitted on September 4, 2020. Should it not be possible to obligate the funds prior to August 3, 2020, the State Library is to be notified **by July 1, 2020** so arrangements can be made to return the funds to the State Library. If received by the State Library before the last month of the grant period, these funds can be reprogrammed into other Arizona projects; otherwise, reverted funds must be sent back to IMLS.

Record Retention Requirements

Taken from 2 CFR §215.53

(b) Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of **three years** from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency. The only exceptions are the following.

- (1) If any litigation, claim, or audit is started before the expiration of the 3-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.
- (2) Records for real property and equipment acquired with Federal funds shall be retained for 3 years after final disposition.
- (3) When records are transferred to or maintained by the Federal awarding agency, the 3-year retention requirement is not applicable to the recipient.
- (4) Indirect cost rate proposals, cost allocations plans, etc. as specified in 2 CFR §215.53(g).

Complaint Process

Complaints or questions about the LSTA program received by State Library will be forwarded to the Library Development Grants Consultant, who will respond as appropriate either through a phone call, an email message or a formal letter. If the person making the complaint is not satisfied with the information provided by the Library Development Grants Consultant, the question or complaint will be sent to the State Librarian. The State Librarian will respond as is appropriate to the situation, and is the person of last resort for complaints.

Audit Requirements

All libraries that expend \$750,000 or more during their fiscal year in Federal awards must have a single or program-specific audit conducted for that year. See 2 CFR §200.501 for all audit requirements.

Monitoring Project Progress

Arizona LSTA projects are part of a network of community-driven, exemplary work being accomplished in libraries across the country. To support these efforts and to ensure that projects are in compliance with LSTA and State Library requirements, the Grants Consultant will monitor projects during the grant year, usually by phone or email. In some cases, the Grants Consultant will want to meet with the project manager in person. Prior to an in-person visit, the Grants Consultant or other Library Development staff will provide in advance a list of materials to be reviewed. The Consultants will also ask for highlights of activities that are going especially well, or that are especially challenging.

Workshops and Webinars

Learn About LSTA workshops and webinars will be scheduled in January 2019. Please check <https://www.azlibrary.gov/events/libdev> for dates and times.

Visit <https://www.azlibrary.gov/libdev/funding/lsta> for links to presentation PDFs and tips for writing your application.

Are you thinking about applying for a grant to fund an early learning project? We have a webinar for you. Go to <http://go.azsos.gov/fj7d> to view “Preparing to Apply for Early Literacy Grants”. The webinar focuses on MapLit which is an interactive tool developed by ReadOn partners to identify key data sets that impact early literacy outcomes in communities. Find out about researching and applying these data to strengthen your grant application.

Grant Recipients Workshop

It is required that the project contact for each 2019 LSTA funded project attend the Grant Recipients Workshop on May 17, 2019 from 9AM to Noon in Phoenix. In addition to important grants administration information, this workshop provides an excellent opportunity to meet Library Development staff and to network with other grant recipients. Be sure to include expenses for travel to this workshop in your grant budget, if needed.

Information covered in the Grant Recipients Workshop includes:

- Overview of LSTA project management
- Data collection
- Evaluation methods and tools
- Final reporting requirements

Celebrations and Best Practices

If awarded an LSTA grant, think about involving your community and partners in an open house, launch or capstone event. Arizona State Library staff want to help you celebrate your successes. Consider inviting the State Librarian to help celebrate at a culminating or other special event. Be sure to send invitations to the LSTA Coordinator as well.

Since 2013, the Library Development team at the State Library has presented an LSTA project showcase at the Arizona Library Association Annual Conference. The showcase is an opportunity to share best program practices with library staff from around the state.

Contact Jaime Ball, jball@azlibrary.gov, 602-542-6266 if you have questions about events or the LSTA showcase.