

2016 AZ LSTA Grant Guidelines

For Library Projects from May 20, 2016 to August 4, 2017



Tablets in children's area at Pinetop-Lakeside Library



**MICHELE
REAGAN**
*Secretary of State
State of Arizona*



Arizona State Library,
Archives and Public Records

Deadlines and Timetable

The schedule below assumes that the Grants to States allotment from the Institute of Museum and Library Services (IMLS) will be allocated to Arizona in early 2016, and is subject to change. The online application must be submitted by midnight on March 9, 2016 (after which time the application will not be available). The Certification of Application with original signature, and any paper attachments, must be mailed and postmarked by March 9, 2016.

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|----------------------------|---|
| • March 9, 2016 | 2016 LSTA application submitted |
| • May 2, 2016 | Grant awards announced |
| • May 20, 2016 | Grant funds available |
| • May 20, 2016 | Grant recipients workshop |
| • August 4, 2017 | 2016 LSTA projects completed; funds fully encumbered |
| • September 4, 2017 | 2016 LSTA final reports due; funds fully expended |

It is highly recommended that you contact a Library Development Consultant to discuss your project idea before submitting an application.

Phone Us: 602-926-3604

Email a State Library Consultant

Learning	Donna Throckmorton	dthrockmorton@azlibrary.gov
Community	Dale Savage	dsavage@azlibrary.gov
Collections	Mary Villegas	mvillegas@azlibrary.gov
General	Janet "Jaime" Ball	jball@azlibrary.gov

Find us on the Web

www.azlibrary.gov
www.azlibrary.gov/libdev/funding/lsta

Arizona State Library
LSTA in Arizona

General Grant Instructions

Getting Started

- Begin by identifying community needs and how your project will benefit your target audience.
- Review the LSTA Five Year Plan, which can be found on <http://www.azlibrary.gov/libdev/funding/lsta> and determine into which grant category (Learning, Community and Collections) your project best fits.
- Call the appropriate Arizona State Library consultant and discuss your project. Call your county librarian or library director to explain your project, checking to see if it overlaps with other county projects and how it fits into the library's and the county's plans.
- Attend a workshop or webinar to learn about LSTA grants. Visit <http://www.azlibrary.gov/events/libdev> to register.
- The online application is available at <http://www.azlibrary.gov/libdev/funding/lsta>

LSTA Statewide Five-Year Plan

The State Library staff, with the assistance of outside consultants, focus groups and librarian input, developed the 2013-17 LSTA Five Year Plan. Grant proposals must address the goals and needs outlined in the plan. Please review the LSTA Five-Year Plan on the State Library's Web site at <http://www.azlibrary.gov/libdev/funding/lsta>

Needs, Outcomes, Activities and Evaluation



*Outcome:
"Not how many worms
the bird feeds its young,
but how well the fledging flies."
~ United Way of America*

[community needs assessment, research, target audience] Then write clear, concise, and measurable outcomes. Outcomes should be a desired change or improvement in the target audiences' skills, attitudes, knowledge, behaviors, status or life conditions. Activities should be designed to bring about the desired change. Incorporate the evaluation throughout the project, not just as an add-on at the end.

Outcomes, not just outputs, are important to IMLS. You'll find more information at: <https://www.imls.gov/grants/outcome-based-evaluation/basics>.

Partnerships

Libraries are encouraged to partner with other organizations when applying for LSTA funds. Libraries should consider partnering with museums, archives, cultural institutions, schools, tribal and governmental entities, social service agencies, local businesses and other organizations.

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.

New and Continuing Projects

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.

Budget Considerations

- LSTA funds may be used for many project costs. However, funds may not be used for existing staff salaries and benefits, administrative fees, indirect costs, food or entertainment, or construction. See page 10 of this document for a list of allowable and unallowable costs.
- While LSTA funds can't support a project that is primarily marketing, applicants are encouraged to include costs to promote and market their LSTA project.
- Only large items costing more than \$5,000 should be budgeted as equipment; all other items should be listed as supplies.
- Travel and per diem expenses may be included only for project personnel at the rate authorized by the State. Include in your grant request funds for travel to Grants Recipient Workshop in Phoenix. The 2016 authorized rates are available in [Travel Reimbursement Rates](https://gao.az.gov/travel/travel-information) on <https://gao.az.gov/travel/travel-information>
- The total budget should reflect the costs for the project outlined in the application. Local funds, whether in-kind or cash, are encouraged but not required. Documenting that LSTA leverages local funds is important to IMLS in justifying the program to Congress.

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.

Completing the Application Form

Go to <http://www.azlibrary.gov/libdev/funding/lsta> for the link to the online application.

A completed application consists of:

- Submitted online information.
- Certification of Application mailed by due date.
- Support letters from project partners.
- Brief resume from paid project consultants.
- No more than two, brief additional attachments.

Complete the entire application online. Mail a copy of the application including the signed original Certification of Application along with any support letters and resumes to the address below. Materials must be postmarked by **March 9, 2016**.

Send the materials to:
Grants Consultant
Arizona State Library, Archives & Public Records
1700 W. Washington St, Suite 200
Phoenix, AZ 85007

AZ LSTA Eligibility Policy

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.

A library must meet all criteria for one of the following:

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 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.

Limitations: LSTA-funded projects must directly serve the general public.

Public Libraries

- Receive a minimum of 50 percent of funding from public sources OR be organized as a non-profit.
- Agree to:
 1. Work with patrons, at no charge, to locate materials.
 2. Provide specific information on attaining material. Patrons may be offered several options to attain material including: patron purchase of low-cost materials; library purchase of materials; database and web sources; and inter-library loan (ILL).
 3. When materials can only be attained through ILL, offer to secure the loan for the patron. With prior notice to patrons, postage costs for materials sent to any and from any library will be capped at \$6 per item, and fees charged by non-Arizona public, regent or community college libraries, may be passed on to the patron; no other fees or charges may be passed on to the patron. Libraries may limit ILL requests to six per patron at any one time and may limit requests to print materials published more than one year ago; not currently on a nationally recognized best-seller list; or not needed by the library's own patrons. The sharing of circulating non-print materials is encouraged, but not required.
 4. Write and publish a detailed 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 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.

Limitations: LSTA-funded projects must directly serve the general public.

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 Certification.
- Provide services to Arizona residents.
- Submit to the State Library all reports in a complete, accurate and timely manner.

Limitations: LSTA-funded projects must directly serve the public.

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.

Collections Grants:

Collections projects support exemplary stewardship of library collections in a variety of formats; as well as facilitate access to, discovery of, and use of those collections.

Program and Activity Ideas:

- Access to eBooks
- Periodical and Reference Databases
- Materials for the Visually Impaired or Those with Other Disabilities
- Digitization of Historical Materials
- Arizona Governmental Publications
- Online Job and Career Materials
- Print Materials for Tribal and Rural Libraries
- Electronic Resource Development

Collections Grants should address these LSTA priorities:

- Establish or enhance electronic and other linkages and improve 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.



Billingsley House on Hill Street, Duncan, AZ. Photo courtesy of Duncan P.R.I.D.E. From Greenlee County Library System Local History and Photo Album website <http://www.greenleecountyhistory.org/>

As you plan:

1. Who is the audience for your collection project?
2. Why would this audience benefit from having access to this collection?
3. What formats would best serve the audience?
4. How many people will use this collection in the format you have selected?
5. Have you considered alternative formats for those who may have a visual impairment or other disability?
6. How will you know if you were successful?
7. How will you measure that success?

For help with Collections Grants, contact Mary Villegas,
Villegas,
mvillegas@azlibrary.gov
602-926-3600

Community Grants:

Community projects position libraries as forward-looking community anchors that address diverse needs, including human services, employment and economic development, and civic engagement.

Program and Activity Ideas:

- Job Assistance and Training Programs
- Small Business Development
- Community Referral Programs
- Civic Engagement Programs
- Legal Information Programs
- Other Programming

Community 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, to individuals with disabilities, 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 families with incomes below the poverty line.

As you plan:

1. What community need are you targeting with this project?
2. How do you know this is a community need?
3. How will you address this need?
4. How will community members benefit as a result of the project?
5. How will you know if you were successful?
6. How will you measure that success?

For help with Community Grants, contact Dale Savage,
dsavage@azlibrary.gov
602-926-3988



Meeting of minds at the Hive Business Expo, Phoenix Public Library

Learning Grants:

Learning projects place the learner at the center of any initiative, and support lifelong learning and literacy, to assist Arizonans to fully participate in their local communities and the global society.

Program and Activity Ideas:

- Early Literacy Programs
- Youth and Adult Reading Programs
- Information Literacy Classes & Resources
- Programming for Youth and Adults
- Other Programming

Learning 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, to individuals with disabilities, 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 families with incomes below the poverty line.

As you plan:

1. Who are the learners you are targeting with this project?
2. Why did you choose this group of learners?
3. What do you want them to learn?
4. What do you want them to do with this knowledge?
5. How will you know if you were successful?
6. How will you measure that success?

For help with Learning Grants,
contact Donna Throckmorton,
dthrockmorton@azlibrary.gov
602-926-3369



Grand Opening of Makerspace at Maricopa High School

Application Worksheet

Use this worksheet to prepare your online application.

1. Needs Assessment

- a. What community need or opportunity does your project address?
- b. How do you know this is a need?
- c. What audiences are you targeting with this project and why?
- d. How does this project relate to your library's mission or other plans (such as a technology plan)?

2. Project Outcomes:

- a. What specific change do you intend to achieve with this project?
- b. Briefly explain why you have selected this outcome, tying it to the Needs Assessment provided.
- c. Why is this project the best approach?
- d. How will the general public participate or use this product? Who will participate, and how many will directly participate in the first year? How will you publicize this activity or product?

3. Project Activities:

- a. What steps has your library taken to prepare for this project?
- b. 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.
- c. 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:

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

5. Project Personnel:

- a. 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.
- b. Identify the project director, and explain why he or she is appropriate for this project.
- c. If special skills or expertise are necessary for a participant, briefly list his or her qualifications. Provide a brief resume for any consultant for whom you are requesting LSTA funds.

6. Partners:

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

7. Timeline/Schedule of Activities:

- a. What are the major steps you'll take to reach the outcomes you've listed?
- b. Provide a timeline that includes planning, implementation and evaluation, and indicates when funds will be spent. Remember, funds are not available before May 20, 2016, and must be spent by August 4, 2017.
- c. Provide specifics about each public program activity, including the date and location.

8. Sustainability:

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

9. Project Budget:

- a. Provide a detailed explanation and justification of the proposed LSTA expenditures. Quotes, estimates, mileage, and other methods of calculating budget items should be detailed.
- b. Complete the budget form on next page for the project described in this application. In-kind services or funds are not required, but are encouraged.

10. 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 _____.

Limit your response to 120 words. Lengthier summaries will be rejected.

Budget Form Worksheet

Budget Category	LSTA \$	Local \$	Description
Salaries, Wages, Benefits			
Consultant Fees			
Travel			
Supplies/Materials			
Equipment A single item valued at \$5,000 or more			
Services Provided by third-party vendor. Includes printing, subscriptions, maintenance, etc.			
TOTAL			

Budget Notes

Categories	Notes
Salaries/Wages/Benefits	Includes all salaries, wages, and fringe benefits paid to 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, 2017.
Indirect Costs	<p>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.</p> <p>There are four options for indirect costs:</p> <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.

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.

Allowable and Unallowable Costs

Most costs necessary and reasonable 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 2 CFR 200 Subpart E – Cost Principles.

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

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

Requesting Funds

Funds must be requested between May 20, 2016, and July 31, 2017.

Travel Costs

Travel and per diem expenses are allowable costs for project personnel only. A subrecipient must reimburse staff travel and per diem at the rate authorized by the State (See Budget Considerations on page 3).

Interest on Grant Funds

DO NOT 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.

Budget Revisions and Programmatic Changes

Subrecipients must not deviate from the approved budget and approved plan for carrying out the grant project as contained in the approved grant application unless prior approval is obtained from the Grants Consultant or the Library Development Administrator. Similarly, subrecipients must request prior approval of 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. Both types of requests must be made in writing to the Library Development Grants Consultant, Janet “Jaime” Ball at jball@azlibrary.gov.

Project Numbers

A grant number will be assigned to all LSTA 2016 funded projects and should be provided on the award notification. The Catalog of Federal Domestic Assistance (CFDA) number is 45.310.

Grant Administration Guidelines

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 subrecipient or any subcontractor of the subrecipient 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.

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 the disposition requirements of the State Library.

Grant Close Out Procedures

All funds must be encumbered/obligated by the last day of the grant period (August 1, 2017). All payments using LSTA funds must be completed before the final report is submitted, September 4, 2017. Should it not be possible to expend and/or obligate the funds prior to the end of the grant period, the State Library is to be notified **by June 30, 2017** 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 200 Subpart D §200.333 Record Retention and Access

Financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award must be retained for **a period of three years** from the date of submission of the final expenditure report or, for Federal awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, respectively, as reported to the Federal awarding agency or passthrough entity in the case of a subrecipient. For exemptions, please see the CFR.

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 have received a total of \$750,000 or more from all federal grants in the federal fiscal year (October 1 – September 30), must submit an audit as required under the Single Audit Act of 1984.

Audits are required as follows under 2 CFR 200 Subpart F – Audit Requirements.

Grant Administration Guidelines

Grant Recipients Workshop

It is highly recommended that the project contact for each 2016 LSTA funded project attend the Grant Recipients Workshop on Wednesday, May 20, 2016 from 9AM to Noon. Subrecipients will be sent details about location and agenda. This workshop provides an overview of LSTA project management, training on data collection for the final report, and important information about budgets and project evaluation. It also 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 the grant budget, if needed.

Data Collection

Every project involves activities that are performed in order to achieve a desired outcome. LSTA project managers are required to keep track of specific data, such as the number of programs offered, the number of attendees, the number of items acquired, the locations where activities were held, etc. A full explanation about activities and data collection will be provided at the Grant Recipients Workshop.

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.

Evaluation Plan

IMLS believes the two most important purposes of evaluation are (1) to provide essential information for good decisions about priorities, deployment of resources, and program design and (2) to help communicate the value of projects. An evaluation plan is required as part of the grant application, and reporting on project performance is a critical component of grant administration. Details and strategies for measuring the success of the project will be provided at the Grant Recipients Workshop.

Reporting Requirements

Grant recipients will be required to submit a final financial and narrative performance report to the State Library within thirty days after the end of the project or no later than September 4, 2017 for FY 2016 competitive grants. The final report is completed online through the grants management software used to submit the application.

Failure to file the report or library statistics on time will make your library ineligible to apply for future LSTA grants.

The financial report will group expenditures into specific categories required by IMLS. As part of project management, you will track your expenses with those categories in mind. A full explanation about budget categories will be provided at the Grant Recipients' Workshop.