

Oregon State Library  
 Library Services and Technology Act Competitive Grant  
 General Information and Grant Guidelines

**Grant Cycle for FFY 2013**

Every year, the Oregon State Library administers a competitive grant program with Library Service and Technology Act block grant funds from the Institute of Museum and Library Science. In fiscal year 2011-2012, the State Library is developing the new Oregon LSTA Five-Year Plan. Since the new Plan will not be in place during the beginning of this grant process, we will default to the underlying legislation. State Library Staff will work with applicants to fit projects into the new Plan when it is approved in July. Competitive grants must address at least one purpose of the Library Services and Technology Act. See <http://www.oregon.gov/OSL/LD/lsta.shtml> or Appendix A for a list of LSTA purposes.

This packet contains information and forms that will be needed to apply for the 2013 LSTA grant cycle. Grants will be made for projects beginning on February 1, 2013 and ending on January 31, 2014. This schedule may vary depending on Congressional appropriations.

Detailed information on past grants, downloadable copies of forms, and background on Oregon’s LSTA program can be found on the Library Development Services pages of the Oregon State Library’s website (<http://www.oregon.gov/OSL/LD/grantmainalt.shtml>). We encourage prospective grantees to contact the Federal Programs Coordinator, Ann Reed, at (503) 378-5027 or [ann.reed@state.or.us](mailto:ann.reed@state.or.us) for assistance.

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### Award Amounts

The total amount of funding available for competitive awards typically ranges from \$600,000 to \$800,000. There are no set limits to the amount of funding that may be requested; however, very large requests may not be as competitive as smaller requests. Local support (in-kind or cash) is expected from all applicants as evidence of local commitment to the proposed grant project. Projects are also expected to seek sustaining funding from other sources to support the project once the LSTA grant has ended.

### Recent LSTA Grant Award History

Federal Fiscal Year	# of Grants Awarded	Total Amount Awarded	Low Amount Awarded	High Amount Awarded	Median Amount Awarded
FFY2012	13	\$676,797	\$9,645	\$125,742	\$40,573
FFY2011	14	\$562,052	\$10,675	\$107,925	\$33,602
FFY2010	16	\$921,273	\$5,525	\$102,395	\$62,333
FFY2009	13	\$839,770	\$28,080	\$92,579	\$66,310
FFY2008	14	\$822,175	\$12,160	\$113,841	\$54,575
FFY2007	15	\$673,910	\$5,600	\$78,920	\$37,950

### Types of Grant Projects

LSTA has funded technical studies, planning grants, service and technology development and demonstration projects, as well as the replication of outstanding projects. Grant projects do not need to be innovative, just new to the applicant. The LSTA Advisory Council stresses fully developed partnerships where possible in grant projects.

### Eligible Applicants

LSTA grants may be made to any legally-established public library, academic library, special library, school library, library cooperative or consortium or to any organization with tax exempt, non-profit status willing to serve as fiscal agent for a project to benefit one or more libraries.

For purposes of Oregon’s LSTA program:

A **public library** is established under ORS 357.410 and is “a public agency responsible for providing and making accessible to all residents of a local government unit library and information services suitable to persons of all ages” (ORS 357.400). “Local government units” include cities, counties, special districts, county service districts, school districts, and community college districts (ORS 174.116).

An **academic library** is any library of a not-for-profit, degree-granting institution of postsecondary education in Oregon, whether publicly or privately funded. (ORS 543.060)

A **special library** is a private, non-profit or government organization that serves information needs as defined by a particular subject or activity. To be eligible for a LSTA state grant, the special library must have paid library staff, be accessible to the public and have a written collection development policy.

A **school library** is library serving Kindergarten through 12<sup>th</sup> grade students, teachers, and administrators. A school library may be called a library media center, media center, resource center, information center, instructional materials center, learning resource center, or some other name.

***School Libraries***

Due to the large number of school libraries in Oregon’s library community, the LSTA Advisory Council first examines proposals from schools in relation to the criteria below.

<i>Project characteristics viewed favorably by the LSTA Advisory Council</i>	<i>Project characteristics not viewed favorably by the LSTA Advisory Council</i>
<ul style="list-style-type: none"> <li>• Projects involving partnerships with public, academic, outside agencies, or other school districts</li> </ul>	<ul style="list-style-type: none"> <li>• Projects limited to a single school or school district that do not involve a partnership with another library or agency</li> </ul>
<ul style="list-style-type: none"> <li>• Projects managed by certified school library media specialists</li> </ul>	<ul style="list-style-type: none"> <li>• Projects that replace lost or current local funding for books and computers</li> </ul>
<ul style="list-style-type: none"> <li>• High profile or statewide grant projects undertaken in collaboration with the Oregon Association of School Libraries</li> </ul>	<ul style="list-style-type: none"> <li>• Projects that replace lost or current local funding for staff</li> </ul>
<ul style="list-style-type: none"> <li>• Automation projects to join existing regional resource sharing networks</li> </ul>	<ul style="list-style-type: none"> <li>• Automation projects limited to single schools or school districts</li> </ul>

**Competitive Grant Process**

The LSTA competitive grant program has a two-step process. The first step is submission of the brief proposal, and the second step is submission of the full proposal. Brief proposals received by the deadline are evaluated by the LSTA Advisory Council and State Library staff using the criteria in these guidelines. Late proposals or proposals not adhering to the stated format will not be considered.

After review of the brief proposals in May, the LSTA Advisory Council recommends to the State Library Board of Trustees which libraries/organizations should be invited to submit full grant proposals. Invitations are sent after the Board meets in June. Applicants will also be sent written comments made by the LSTA Advisory Council. The LSTA Advisory Council meets in September to review the full proposals and decide on their funding recommendations to the Board. Applicants will be notified of their recommendations before the Board’s October meeting, when the Board awards the grants.

As a result of Council feedback or the grant writing process, a grantee may make changes in the proposed objectives, activities and budget from the brief proposal to the full proposal. The Council expects a reasonably well-researched budget and plan in the brief proposal. If there are significant changes, particularly to the budget, be sure to justify them in the full proposal.

### **Grant Period and Multi-year Projects / Consecutive Grants**

Grants are funded for 12 months. If a grant project needs to be developed over a two or three year period, you must apply for a series of one year grants. Consecutive grants will only be made in cases where the scope of the work is too large to be accomplished in 12 months, or where the grant activities must be timed to coincide with future events outside of a grantee's control (e.g. library district elections). The Council expects that activities will develop over the duration of a multi-year project. Two-year grant projects are viewed more favorably than three-year projects.

### **Best Practices**

The Oregon State Library looked through past LSTA grants to identify best practices in three subject areas. Grant writers may wish to refer to these documents on adult literacy programs, outreach to immigrant and language minority programs, as well as digital library and digitization programs. The LSTA best practice documents can be found at:

[http://www.oregon.gov/OSL/LD/lsta.shtml#LSTA\\_Best\\_Practice](http://www.oregon.gov/OSL/LD/lsta.shtml#LSTA_Best_Practice).

### **Allowable and Acceptable Costs**

#### ***Costs not allowed by Federal regulation***

Projects must conform to federally allowable costs (summarized in Appendix B). Links to Federal allowable cost documents can be found via the State Library Website's Oregon's LSTA Competitive Grants page (<http://www.oregon.gov/OSL/LD/LSTAcamp.shtml>). LSTA legislation does not allow for construction expenses, including planning, remodeling, wiring, expansion costs, new furnishings, architect's fees, land acquisition, or siting expenses. Please note that LSTA does not cover honorariums or prizes of any kind. Speaker fees are allowable with an invoice.

#### ***Costs not accepted by the LSTA Advisory Council for funding***

The LSTA Advisory Council has developed the following list of items they will not recommend for funding, even though such items may be allowable under federal rules.

- The Council sees LSTA as a first-funder. Therefore LSTA will not take over funding of projects initiated by other grant funders.
- Restoration or replacement of current collection funding.
- Restoration or replacement of normal operating costs, such as computer maintenance, ongoing software license fees, utilities, etc.
- Computers, books, or library materials not integral to a new service or program.
- Replacing or upgrading a library automation system purchased with LSTA funds.
- Stand-alone school or school district automation projects.

### ***Staff costs***

LSTA will not replace or restore current staff funding. Additional hours if the staff person in question is part-time, or substitute labor are fundable. Grant funds should support work addressing the grant project, not normal local services. Work done on a grant needs to be documented by a time card. A half-time employee may have additional hours (up to 40) added in order to do grant activities, such as outreach. Substitute labor may, for instance, cover public desk hours to free up necessary staff to do the grant project.

### **Indirect Costs**

Indirect costs for the administrative charges of the fiscal agent are limited to 6% of the total direct LSTA funds requested. A copy of relevant portions of a current Federally-approved indirect cost plan must be submitted with the full proposal. For organizations without a Federally-approved indirect cost plan, the cost of a contract with a fiscal agent may be covered in the grant's contractual budget line. Do not simply claim 6% as the cost of the fiscal agent in such a case. The budgeted amount for the contract should be based on the actual cost of fiscal agent services.

### **CIPA – Children's Internet Protection Act**

If public or school libraries use LSTA funds to buy computers for staff or the public to access the Internet or to pay direct costs associated with accessing the Internet, the public or school libraries must "have in place a policy of Internet safety that includes the operation of a technology protection measure with respect to any of its computers with Internet access that protects against access ...to visual depictions that are obscene or child pornography" 20 U.S.C. 9134(f). In such a case, public and school libraries must certify compliance with the Children's Internet Protection Act (CIPA). Filtering requirements would apply to all computers in the library, including staff computers, whether existing or newly purchased with grant funds. Library consortia that include public or school library members using LSTA funds for computers accessing the Internet, or for Internet access fees also must comply with CIPA filter requirements. All of the consortia members may be affected. A copy of the Act, guidance from IMLS, and a FAQ sheet can be found via <http://oregon.gov/OSL/LD/lsta.shtml>. Libraries concerned about CIPA are encouraged to contact the State Library before applying.

### **Special Requirements for Technology and Continuing Education Grants**

Technology grants for resource sharing will adhere to standards that allow automated catalogs to be searchable by other libraries and/or permit bibliographic records to be exported to automated regional catalogs.

Continuing education activities must be part of a larger project and relate to the goals of LSTA legislation. The State Library expects grantees to invite participants from other types of libraries if space allows.

### **Digitization Grants**

**The council will only consider proposals for digitization or digital libraries that contain the following elements:**

- Free public access (including following basic accessibility guidelines) for all digital materials, preferably through open source platforms
- Use of metadata best-practices (use of content-appropriate standards [e.g., Dublin Core, MODS, VRA Core4.0] and pre-existing controlled vocabularies) and other open data methods to facilitate harvesting or content aggregation
- Evidence of need and identification of target audience
- Scope of the project
- A sustainability plan and designated institutional commitment to long-term access and preservation
- Consideration of copyright and ownership issues
- Consideration of privacy, cultural concerns, or other issues associated with making material public

**Preference will be given to the following types of proposals:**

- Being or having partnerships with a major public or academic library with expertise in producing and providing access to digital collections
- Partnerships between libraries and cultural heritage organizations that promote access to smaller or less-accessible collections

See “**Best Practices for LSTA-Funded Digital Library and Digitization Projects in Oregon**” document at

[http://www.oregon.gov/OSL/LD/LSTA/best/Best\\_Practices\\_for\\_LSTA\\_digitization\\_Final.pdf](http://www.oregon.gov/OSL/LD/LSTA/best/Best_Practices_for_LSTA_digitization_Final.pdf)

**Consultants and Subgrants**

Prior to hiring a private consultant, library planning projects must obtain written approval of the consultant selected from the State Library. Consultants must adhere to restrictions on federal funds, particularly regarding lobbying. Grantees shall not use LSTA funds to run a subgrant program without first presenting a detailed plan to the State Library.

**Evaluation of brief proposals**

Council members complete an evaluation form for each brief proposal at their May meeting. The score of a brief proposal is a starting point for discussion of whether the Council is interested in inviting a project to submit a full proposal. The Council may not wish to consider a project further, or may see potential in a low-scoring proposal, so a score is not a guarantee of future success. Council members may write comments about the proposal that will be compiled and sent to the applicant.

The criteria that the Council will use to evaluate brief proposals are:

LSTA BRIEF PROPOSAL EVALUATION SYSTEM

1. To what degree is the proposal relevant to the LSTA priorities?

(circle one)

5	4	3	2	1
Highly relevant		Somewhat relevant		No relevance

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2. To what extent does the proposal appear to address a genuine need for improved library services, for which the use of federal funds (as opposed to local, state, or other funds) would be appropriate?

(circle one)

5	4	3	2	1
Well-justified need for federal assistance		Somewhat justified need		Federal assistance not justified

3. To what extent do the proposed objectives, activities, timeline, and project budget represent a plan to meet the stated needs in a manner which is feasible, achievable, and cost-effective?

(circle one)

5	4	3	2	1
Plan appears highly feasible, achievable, and cost effective		Some elements of the plan are questionable		Proposed plan is highly questionable

4. To what extent does the proposed local contribution to the project budget provide evidence of a serious local commitment to the project objectives?

(circle one)

5	4	3	2	1
Local contribution shows major commitment		Local contribution shows some commitment		Proposed local contribution shows little commitment

5. Based upon the information presented in the proposal, how would you assess the chances that the improvements to library service presumably brought about by the project would continue beyond the grant with local resources?

(circle one)

5	4	3	2	1
Strong evidence that the benefits would continue		A fair chance that the benefits would continue		Little evidence that the project would have long-term impact

Do not invite \_\_\_\_\_

### Evaluation of full proposals

Full grant proposals have more detailed evaluation criteria, all of which should be addressed. Contact Ann Reed, the Federal Programs Coordinator, at 503-378-5027 or [ann.reed@state.or.us](mailto:ann.reed@state.or.us) with any questions. The scoring of the full proposals is the basis of the development of Council recommendations for funding.

The criteria that the Council will use to evaluate full proposals are:

#### LSTA FULL PROPOSAL EVALUATION CRITERIA

1. Problem / Need
  - (a) Description of problem / need.
  - (b) Explanation of inadequacy of current responses.
  - (c) Explanation of how these needs and responses were assessed.
  - (d) Evidence of consideration of alternative solutions and the basis for their rejection.

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- (e) Description of how the proposed project will respond to the needs identified.
  - (f) Evidence of need documented in letters of support.
2. Goal
    - (a) Clear statement of proposed project goal that clearly relates to identified needs.
    - (b) Relevance of project to LSTA Five-Year Plan.
    - (c) Project objectives are measurable and clearly related to the goal.
    - (d) Additional advantages of proposed project (innovation, demonstration, other).
  3. Scope
    - (a) Clear statement of which libraries/service agencies are to be involved and how. If applicable, a statement of the number of persons targeted by the project.
    - (b) Ability of grantee to manage size and type of grant.
    - (c) Potential for utilizing project results in other projects: Fair, good, excellent.
    - (d) Significance of the project concept for library development in Oregon: fairly important, very important, crucial; significant due to proposed innovation.
    - (e) Evidence of community involvement and collaboration in letters of support.
  4. Budget
    - (a) Appropriate and justified in meeting objectives.
    - (b) Local cash and in-kind support fully documented.
    - (c) Cost is appropriate to the service outputs proposed.
  5. Staffing
    - (a) Qualifications of project manager specified.
    - (b) Project staffing is appropriate.
    - (c) Staff training described, if needed.
  6. Plan of Operation
    - (a) Timeline provided specifying when critical events must be completed and their relationship to the project.
    - (b) Organization chart or narrative is provided that describes the relationship of project staff to one another and to the project management structure.
    - (c) A description of facilities, equipment, and/or library materials needed for the project is provided, along with a method of procurement: in-kind contribution, lease, or purchase.
    - (d) A description of the method of reporting project status to the applicant's governing authority is provided.
    - (e) Activities for meeting measurable objectives are clearly stated and feasible.
    - (f) Feasible plan to sustain improvements to library service.
  7. Plan for Evaluation
    - (a) Measurable objectives are provided.
    - (b) Methods of measuring performance are reasonable and adequate.
    - (c) Adequate plan for publicizing the results of the project is provided.

### **Grant Administration Procedures**

The State Library will send a sample grant contract with the notification of award for the grantee to review the contract language. The actual grant contract will be sent when the Institute of Museum and Library Services releases funds to the State. The grant contract is a formal agreement between the state and the project fiscal agent and sets out a number of requirements for administering the grant including that:

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- 1) All federal funds will be expended solely for the purpose for which a grant was awarded as described in the project narrative of the full proposal.
- 2) All federal funds must be spent in accordance with all applicable laws and regulations governing LSTA.
- 3) Federal funds may not be used for political purposes at any political level.
- 4) Costs accrued before a grant contract is signed are not reimbursable unless approved prior to accrual.
- 5) School and public libraries receiving federal money under LSTA to purchase computers to access the Internet and/or purchase direct Internet access must comply with CIPA requirements.
- 6) Local support of agencies receiving federal funds may not be reduced because of receipt of federal funds.

Funds for the peer evaluation of each grant will be added to the approved grant amount. The State Library will match each grant with a peer evaluator who will evaluate the project before the end of the grant contract.

### **Contact Person**

Questions about the LSTA grant process and grants administration requirements, or about whether ideas for grants are suitable for LSTA, can be directed to Ann Reed, Federal Programs Coordinator, at (503) 378-5027, or by email at [ann.reed@state.or.us](mailto:ann.reed@state.or.us).

### **Appendices:**

- Appendix A** - Purposes of the Library Services and Technology Act
- Appendix B** - Allowable and Unallowable Costs in LSTA Grants
- Appendix C** – Brief Proposal for New Projects
- Appendix D** – Brief Proposal for Continuing Projects
- Appendix E** – Full Proposal