Library Services and Technology Act (LSTA)

Handbook for Sub-grant Applicants

2007

Indiana State Library
Library Development Office

Policies and procedures for LSTA grants

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For more information, contact the LSTA Consultant:

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Overview

These grants are made available under the Library Services and Technology Act (LSTA). The Act is a federally funded grant program administered by the Institute of Museum and Library Services (IMLS). Funds are distributed to each state administrative agency using a population-based formula and may be used to support statewide initiatives and services or they may be distributed through competitive grant programs in compliance with the overarching program goals as determined by IMLS. To be eligible for these funds, each state must have an approved Five-Year Plan.

The Indiana State Library is the state administrative agency and oversees the LSTA program for Indiana. For 2007 funds have been allocated to provide support for INSPIRE, the Indiana Virtual Library, technology, professional development for librarians, resources and services for special needs populations, and for digitization of Indiana's historical documents and the further development of the Indiana Memory Program. For more information about the Indiana State Library LSTA 5-Year Plan, 2003 – 2007, go to http://www.statelib.lib.in.us/www/isl/ldo/lsta/lstaplan2007.html

The Indiana State Library Advisory Council (ISLAC) serves as an advisory body for LSTA funding, public library standards, and other issues. Membership includes representation from public libraries, school libraries, academic libraries, special libraries, institutional libraries, and libraries serving individuals with disabilities.

About the Grant Program

All LSTA-funded grants are reimbursement grants. Funds for the approved grant project must be spent prior to receiving LSTA funds. Only eligible libraries within the state may apply for the funding. The individual grant program requirements may vary from year to year, but each grant program will support the federal LSTA purposes and the goals stated in Indiana's 5-Year Plan. Each year ISL staff, with guidance from ISLAC and other appropriate entities, determine what competitive grant programs will be offered. Applications and guidelines are prepared for each grant program and posted on the ISL web site (http://www.statelib.lib.in.us/www/isl/ldo/lsta/lstamenu.html). These guidelines will clearly state who is eligible to apply, the amount available for individual projects, the purpose of the grant program, and the application due date.

Grant Project Budget

The grant application budget should reflect the total cost for the project outlined in the application. Local funds whether in-kind or cash, may be required depending on the individual grant program. A local match will be clearly stated in the grant guidelines. In general, LSTA funds may be used for most of the project costs. Federal funds may not be used for existing staff salaries and benefits, administrative fees, indirect costs, food or entertainment. Advertising, public relations, and promotional materials costs are usually not considered an allowable cost, depending on the individual project. Please contact the ISL when planning your project if you are considering using LSTA funding for any of these purposes.

The federal government has defined and discussed in full allowable costs in the following circulars:

- Cost Principles for Educational Institutions (formerly OMB Circular A-21) Code of Federal Regulations 2 CFR 220 (http://www.whitehouse.gov/omb/fedreg/2005/083105_a21.pdf)
- Cost principles for State, Local, and Indian Tribal Governments for State Library Agencies (formerly OMB Circular A-87) Code of Federal Regulations as 2 CFR 225 (http://www.whitehouse.gov/omb/fedreg/2005/083105_a87.pdf); and
- Cost Principles for Non-Profit Organizations (formerly OMB Circular A-122) Code of Federal Regulations as 2 CFR 230 (http://www.whitehouse.gov/omb/fedreg/2005/083105_a122.pdf).

Grant Project Evaluation

Evaluation is a critical part of any grant project. It shows the extent to which the project has met its goals. There are two approaches to evaluation: output based and outcome based. Output based evaluation documents the how much of the products or services were used. Outcome based evaluation measures the extent to which the target audience grew. Not all grant projects lend themselves to an outcome based evaluation. Projects that have a goal related to education or training need to use an outcome based approach to evaluation.

The IMLS web site (http://www.imls.gov/applicants/obe.shtm) has a number of resources to assist with creating a good outcome based evaluation. Another source of assistance is the LSTA Outcomes Evaluation Toolkit (http://www.lstatoolkit.com). It was developed with a National Leadership Grant from IMLS for use by Florida libraries applying for LSTA funding. The Toolkit provides online instruction in outcome based evaluation.

Application Review

Grant applications are reviewed by a combination of reviewers from the ISL Library Development Office and various outside reviewers depending on the individual grant program. The reviewer's recommendations are approved by the Indiana Library and Historical Board (ILHB).

Grant applicants are informed of the status of their grant application in May. Successful applicants will also receive a contract that needs to be signed by the appropriate library official and returned to ISL for state approvals. A copy of the approved contract will be sent to the grantee when all state-required signatures have been added to the document. At this point, the project may begin.

Appeals

Those who were denied a grant, or were not fully funded, can file an appeal to the Indiana Library and Historical Board within 30 days from the mailing of the award notification. The applicant may request in writing to the Director of tie Indian State Library a hearing for the reconsideration or review of the recommendations and a decision. The request should note the basis for appeal. A special ad hoc committee with be appointed and will arrange a meeting with the applicant. The committee's findings and recommendations will be reported to the ILHB. Decisions of the ILHB are final.

Grantee Obligations:

The LSTA grants are federally funded. Grantees are expected to:

- follow all state and federal laws
- be in compliance with section 504 of the Rehabilitation Act of 1973 which prohibits discrimination against the handicapped: and Americans With Disabilities Act which provides for comprehensive civil rights to individuals with disabilities, applies to any projects or activities receiving federal funds
- shall not discriminate on the basis of race, religion, age, gender, national origin, or handicapping condition in providing space for public meeting
- maintain grant records for five years after the completion of the project, submit progress reports and request reimbursement in a timely fashion, and submit a final evaluation and budget report. The grant project is not considered complete until the final evaluation and the budget report have been submitted and accepted by the Indiana State Library.
- acknowledge IMLS in all related publications and activities
- notify the ISL immediately whenever there is a change in project director. Include all new or updated contact information

Children's Internet Protection Act (CIPA):
Public and school libraries must certify that they are CIPA compliant to receive 2007 LSTA funds to purchase computers to access the Internet or the pay for the direct cost associated with accessing the Internet. For more information about CIPA, go to www.imls.gov and look for "Children's Internet Protections Act"; or visit www.cosla.org.

Grant Project Timeline

Fall 2006:	ISL notified LSTA funding has been approved
Early 2007:	Applications and Guidelines are made available
March 2007:	Deadlines for grant applications
April 2007:	Grant applications are reviewed and approved
May 2007:	Grants are awarded and applicants notified
June 2007:	Project begins (start date may differ for individual projects because of contract-signing requirements)
September 30, 2007:	1st quarterly report due
December 30, 2007:	2nd quarterly report due
March 30, 2008:	3rd quarterly report due
June 30, 2008:	Project ends. All project funds must be spent or obligated

July 15, 2008: Final Evaluation and Budget Report due

December 30, 2008: Final report to IMLS on all grant activity due

Grant Administration

After being awarded an LSTA grant, the Indiana State Library will send each grantee on LSTA contract to sign. This contact is a legally binding agreement between your library and the state of Indiana. Each contract will include the grantee's name and address, project number, CFDA number, federal account number, amount of award, ending date of the grant, and duties of the grant.

When you receive a contract for a grant project, it should be reviewed by your library board and signed by the appropriate board representative in ink. The signed contract must be returned to the Indiana State Library, LSTA Program Coordinator, 140 North Senate Avenue, Indianapolis, Indiana 46204. It will then be routed through state offices for signatures. This includes the State Budget Agency, State Department of Administration and Attorney General's Office. A copy of the signed contract will be sent to the grantee for their files.

The actual grant project may not begin until a contract has been signed by the grantee and approved by the State of Indiana. This process takes an average of 45 days. Grantees are encouraged to return the signed contract as soon as possible to begin this process. The actual start date for the project will be determined by the date when the process is completed. Grant funds cannot be spent until after the project start date so do not disburse funds until you receive the signed contract.

Progress Reports

Quarterly progress reports are required from all grantees. These reports should discuss the current status of the project by answering the following questions: What has been done, any problems encountered, and status of budget. This report may accompany a request for reimbursement or can be submitted separately to the LSTA consultant. These reports are due at the end of September, December, and March of the grant year. If the actual start date for your project occurs near the due date for the report, a report should still be submitted indicating that fact. These reports may be submitted by e-mail or U.S. mail. Failure to submit reports may result in a delay in receiving your reimbursement.

Reimbursement Requests

All grants are reimbursement grants. Grantees will need to submit original invoices along with a reimbursement form in order to receive funds. A copy of the appropriate reimbursement form will be included with the completed contract. These requests should go to the LSTA Coordinator, Indiana State Library, 140 N. Senate Avenue, Indianapolis IN 46204. Reimbursement requests should be made no more than once a month, usually during the first week covering all expenditures for the previous month.

Grant funding begins when the contract is complete and all grant money must be expended and/or obligated by the last day of the grant period. Any expenditure made before the grant start date will not be reimbursed. If you determine that you will not spend the total amount of the grant, or that you need to obligate fund, please contact the LSTA consultant as soon as possible. All obligations must be completed within 45 days after the final date of the contract. Early notification of unexpended funds will allow the Indiana State Library to reallocate those funds into other Indiana projects; otherwise, these funds will be sent back to Washington.

Project Revisions

The Indiana State Library realizes that circumstances may change between the time the project was planned and when it begins and that budgets submitted may be based on estimates. In order to make changes in the approved budget and/or approved plan for carrying out the grant project, prior approval must be obtained from the Indiana State Library. Grantees are required to request changes in budget amounts in writing to the LSTA Consultant. They will be notified regarding the approval.

The LSTA Consultant also needs to be notified immediately whenever there is a change in project director. Include all new or updated contact information with the notification.

Site Visits

As a part of the oversight of the grant program, the LSTA Consultant, and/or a consultant from the Indiana State Library will make a site visit to a percentage of the grantees. The visits usually occur midway through the grant year. Not all grantees will receive a site visit. The consultant will discuss the project accomplishments in relationship to objectives; any changes in project direction; any strengths and weaknesses; and the project evaluation documentation. A site visit report will be completed and added to the grant file.

Final Reports

A Final Project Report and Financial Report are due 15 days after the final date stated in the contract. It should be compiled when all the work is done and all the funds have been spent and reimbursed. These reports are required to close out the project. Templates for both of these reports will be posted on the ISL web site (http://www.statelib.lib.in.us/www/isl/ldo/lsta/lstamenu.html).

The final report should include an analysis of the achievements of the project based on the objectives stated in the project application. Specific progress outlining how the objectives were met, what problems were encountered and how they were dealt with should be described. Be sure to include the number of participants or clients using the services and number of programs given, if any. You may also write a brief narrative (not more than three pages) if you feel the questionnaire is not extensive enough to allow a full description of your project's success.

The ISL is interested in identifying model grant projects. If you feel your grant project was successful and can serve as a model for other libraries, please indicate this in the final report. Please submit samples of items produced and any publicity the project received if these items have not already been sent in.

Publicity

Grantees are encouraged to publicize their receipt of an LSTA grant. This can be accomplished through newspaper articles, radio announcements, pamphlets or other types of handouts. IMLS has created a Press kit to assist grantees with publicizing the grant award. The press kit contains basic media tips, a sample news release, and a sample radio public service announcement. It is available online at http://www.imls.gov/recipients/communication.shtm A sample press release is also included in this handbook as Appendix 4.

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 Institute of Museum and Library Services under the provisions of the Library Services and Technology Act administered by the Indiana State Library." Two separate copies of all public relations materials must be included with the final report.

Two copies of any publicity received should be included with the quarterly progress reports or final evaluation. We suggest grantees send a go to state legislator. These efforts will help to retain LSTA funding and/or increase funding for libraries.

Appendix 1

Indiana Historical Library Board members

Robert Barcus
Indianapolis, In 46260

Thomas D. Hamm
Spiceland, IN 47385

Jeff Krull
Fort Wayne IN

Carol McKey
Richmond, IN 47374

Patricia Steele
Indiana University Libraries

Appendix 2

Indiana State Library Staff

Jacob Speer
Library Development Office Director
317-232-3715

Marcia Smith-Woodard
Special Services Consultant
317-232-3719

Edythe S. Huffman
Public Library/Certification Consultant
317-232-3681

Connie Rendfeld
LSTA Consultant
317-232-3694

Wendy Knapp
Public Library Planning Consultant
317-232-3718

Faye Terry
Public Library Services Consultant
317-232-1938

Martha Jane Ringel
LSTA Coordinator
317-232-3696

Additional Numbers:
800-451-6028
FAX: 317-232-0002

Appendix 2

Indiana State Library Advisory Committee members

Four Representatives of Public Libraries

Judy Hemmerling, Director
Colfax Public Library

Yvonne Oliger, Director
Brown County Public Library

Nancy Dowell, Director
Vigo County Public Library

Dianne Osborne, Director
Hancock County Public Library

Two Representatives of School Libraries/Media Centers

Mary Jackson, Media Specialist
Argos Community Schools

Rick A. Jones
Eastbrook Junior/Senior High School

Two Representatives of Academic Libraries

David Lewis, Dean
IUPUI University Library

Brian McCafferty
Lilly Library, Wabash College

One Representative of Large Academic Libraries

Susan Mannan
Ivy Tech State College-Central Indiana

Two Representatives of Special Libraries

Becki Whitaker
INCOLSA

Susan Wheeler, Librarian
Lilly Corporate Center

Two Representatives of Institutional Libraries

Judy Smith, Librarian
Larue Carter Hospital

Two Representatives of Libraries Serving the Handicapped

Ruby Anderson
Indianapolis, IN

Ruby Fleming, Operations Manager
El Centro Hispano

Representatives of Users of Libraries

Amy Harshbarger (Chair)
Rose-Hulman Institute of Technology

Michael Ney
Indianapolis, IN

John (Jack) Randinelli
Auburn, IN

Carolyn Wheeler
Carmel, IN

Nancy Conner
Indiana Humanities Council

Jon Nixon
Lebanon, IN

Margaret Seifert
Madison, IN

Gwen Yeaman
Zionsville, IN

Ex-Officio Representatives

Linda Kolb
Indiana Library Federation

Michael Piper
Indiana Cooperative Library Services Authority

Jeffery M. Stanley
Higher Education Commission

Laura Taylor
Indiana Department of Education

Appendix 4
Sample Media Release

News Release

For Immediate Release
Today's Date

Contact: *(insert your institution's contact name, telephone number, and email address)*

***(insert your institution's name)* Awarded LSTA Grant**

(insert your institution's city) – (Name of your institution) has received a grant in the amount of ($) *(describe how your institution will use the grant money for the benefit of your community).*

(insert a quote from your institution's director)

This project is supported by the Institute of Museums and Library Services under the provisions of the Library Services and Technology Act, administered by the Indiana State Library.

The Institute of Museum and Library Services is the primary source of federal support for the nation's 122,000 libraries and 17,500 museums. Its mission is to grow and sustain a "Nation of Learners" because life-long learning is essential to a democratic society and individual success. Through its grant making, convenings, research and publications, the Institute empowers museums and libraries nationwide to provide leadership and services to enhance learning in families and communities, sustain cultural heritage, build twenty-first-century skills, and increase civic participation. To learn more about the Institute, please visit: http://www.imls.gov.

Appendix 5

Procedure of Appeal for Review of Action on LSTA Proposals

An LSTA project applicant (a library, school corporation, or other institution) whose proposal for funding was denied or not fully granted by actions of the Indiana Library and Historical Board will, upon request, be provided an opportunity for hearing.

Following consideration of the proposal the Indiana State Library will provide written notification to the applicant of the recommendations of the Indiana State Library Advisory Council (ISLAC) and its subcommittee(s) and the decision of the Indiana Library and Historical Board, together with reasons for the recommendations and decision.

The applicant may, within 30 days of the mailing of the notification, request in writing to the Director of the Indiana State Library a hearing for the reconsideration or review of the recommendations and a decision. The request should note the basis for appeal.

The Director of the State Library will transmit the applicant's request for a hearing to the President of the Indiana Library and Historical Board, who will appoint an ad hoc hearing committee of at least three (3) Board members and designate the chairman.

Upon appointment, the Chairperson of the ad hoc hearing committee has 30 days to arrange a hearing with the applicant. Notification of this hearing must be made in writing to all parties including the applicant, chairperson of ISLAC, and the State Librarian 30 days prior to the scheduled hearing. The chairperson of the ad hoc hearing committee shall fix the amount of time, at the hearing, to present the applicant's appeal. The State Librarian and the chairperson of ISLAC or their designees will be invited to comment on the project and to provide additional information.

The chairman of the ad hoc hearing committee will report the committee's findings and recommendations to the Indiana Library and Historical Board. The Board may reverse or maintain its previous decision. The decision of the Board will be final. The applicant will be notified of the decision, in writing, by the State Library.

The appeal procedure will be conducted in as timely a fashion as possible, and Board action must be concluded no later than the second regularly scheduled meeting following receipt of the appeals request.

Adapted from Procedures of Appeal for review
of Action of LSCA proposals (5/83) 9/2000