

## **New York State Library**

### **Service Improvement Invitational Grant Program 2012-2013**

#### **Library Services and Technology Act Federal Program**

The New York State Library has allocated a total of \$800,000 in federal Library Services and Technology Act (LSTA) funds for a one-year Invitational Grant Program focused on assisting library systems to help their member libraries improve library services for their customers and to implement New York State's 2007-2012 LSTA Five Year Plan. Grant allotment will be \$800,000 for the period April 1, 2012 to March 31, 2013.

Grant projects should be linked to one or more of the four goals in New York's LSTA Five Year Plan and to one or more of the federal LSTA purposes and to the library system's Five-Year Plan of Service.

View New York's LSTA Five-Year Plan at: [www.nysl.nysed.gov/libdev/lsta/plan0712.htm](http://www.nysl.nysed.gov/libdev/lsta/plan0712.htm)

The four goals of New York State's 2007-2012 LSTA Five-Year Plan are:

1. All New Yorkers will have reliable, electronic access to high-quality information resources through the expansion of NOVELNY and through enhancement of libraries' technology capabilities to meet users' information needs.
2. All New Yorkers will have improved access to library resources and services that advance and enhance their personal, educational, and working lives.
3. The New York State Library, library systems, and libraries will deliver new and improved programs that anticipate and meet New Yorkers' constantly changing needs for library services.
4. The New York State Library, library systems, libraries and library organizations will strengthen public policy support for upgrading library services for every New Yorker through improved communication, collaboration and partnership efforts within and beyond the library community.

The federal LSTA purposes are:

1. 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, life-long learning, workforce development, and digital literacy skills;
2. Provide training and professional development, including continuing education, to enhance the skills of the current library workforce and leadership, and advance the delivery of library and information services;

3. 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;
4. Develop public and private partnerships with other agencies and community-based organizations;
5. 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;
6. 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; and
7. Develop library services that provide all users access to information through local, State, regional, national, and international collaborations and networks.

Projects might include, but are not necessarily limited to:

- Assessing user or community needs, including assessing the impact of existing services
- Improving broadband services for library users
- Providing leadership for managing change in libraries in the 21<sup>st</sup> century
- Developing skill levels of staff and library trustees to meet changing needs. (All training must be tied to the seven LSTA purposes and the Five-Year Plan)
- Creating models for collaboration and partnerships
- Improving access to and delivery of electronic resources, including digitization projects based on an existing current regional plan for digitization that must be attached to the application (if on the system's website, a URL can be supplied)
- Providing technology training for NOVELNY and other databases as well as virtual reference
- Upgrading of websites to offer new methods of communicating with users, e.g., blogs, RSS feeds, webcasts
- Providing training for library staff to better meet the needs of special client populations
- Improving literacy-based programs and activities, including early literacy, family literacy, adult literacy, *Summer Reading at New York Libraries*, etc.
- New technology programs, including the purchase of commercial electronic resources not already included in NOVELNY. The purchase of electronic resources should be included within a larger project and may not be a stand alone activity.
- Special client services and programs.

Applicants are **required to use an outcome-based evaluation approach** for measuring the results of projects whose activities involve proposed changes in participants' knowledge, skill, attitude or behavior. (For more about this type of evaluation, see Project Evaluation on page 6 of these guidelines.)

Some possible outcomes, based on the types of projects mentioned above, follow:

- Participants achieved success or changed behavior in measurable ways
- New library users identified as a result of project
- Library services and programs changed as a result of evaluation
- Evaluation data demonstrated that assessed needs were met
- Library staff improved skills in working effectively with target groups
- Users identified successful results when using NOVELNY or other databases
- Users reported on usefulness of improved website content
- New and successful partnerships established

✓ **Project ideas should be discussed with the State Library's LSTA Coordinator early on in the project development process to ensure that the project is approvable.**

Grants will be made to library systems only, based on a formula for each type of system. Each library system is eligible to submit only one application.

**Grant funds may not be carried over from one funding cycle to the next. LSTA funds must be used within their designated funding cycle.**

The level of funding for which each type of system is eligible to apply is listed on the State Library's LSTA website at: <http://www.nysl.nysed.gov/libdev/lsta/index.html>

✓ **Funds will be awarded on an invitational, non-competitive basis to individual library systems.**

✓ **While funds will be awarded directly to individual systems, systems have the option to pool funds for collaborative projects.**

For regional and statewide projects, the individual applications should clearly demonstrate how improvement will occur in each individual system's service area.

Computer equipment may be purchased with project funds, but is subject to CIPA requirements. There is a 35% match for all equipment and software costing \$5,000 or more.

**Ineligible expenditures** include food for project activities, costs for substitute staff for others to attend training (though travel costs to training may be paid), and general attendance at conferences such as NYLA, PLA and ALA. Promotional materials for incentive purposes may not be purchased with federal LSTA funds. Please see the information about promotional materials under **Application** below.

Projects funded under this program will run for one year, from April 1, 2012 to March 31, 2013. **Applications must be received in the New York State Library Division of Library Development offices by COB on Wednesday, March 7, 2012. The application and all forms are on the State Library website at <http://www.nysl.nysed.gov/libdev/lsta> .**

## Program Information

Applications under this one-year LSTA Invitational Grant Program are covered by all the conditions of application, expenditure of funds, and federal assurances that govern LSTA grant programs. The application and all forms can be found under the Service Improvement Invitational Grant Program on the LSTA website. Some specific points are noted below.

### Application

Although this is not a competitive grant program, each application must be received in the State Library by COB **Wednesday, March 7, 2012**. No fax or electronic applications will be accepted. **Applications received after this deadline may not be accepted.** The application should have answers to all questions and include all necessary supplemental forms as well as the **short budget form, FS-20**.

If using an overnight or express mail service, applicants should use only United Parcel Service (UPS), Airborne Express or DHL Worldwide Express. These companies have complied with the State Education Department's request that all deliveries be made directly to the addressee. Federal Express and the United States Postal Service are not providing addressor to addressee service. **Keep this in mind if you plan to use express mail.** Experience in receiving applications has shown that it is unwise to depend on express mail the day before the deadline.

**There is an assurance on page 3 of the application form which relates to use of LSTA funds for Promotional Materials. The applicant agrees that it will comply with all applicable federal laws, regulations, and Office of Management and Budget (OMB) circulars in regard to use of LSTA funds to purchase materials to promote the purpose and activities of the project being proposed. The undersigned assures the New York State Library that such promotional materials are educational and informational in nature and have a clearly demonstrable and legitimate purpose that is directly related to the LSTA grant project for which the applicant is seeking funds. Applicants should not refer to such materials as "incentives", "promotional materials", or "prizes" in either the application or any project report.**

### Forms

The customized short budget form, FS-20, is on the State Library's LSTA website along with other required forms: Authentication, Debarment and Suspension, and CIPA. There are also general instructions for completing the application and forms as well as the Congressional Districts table on this site. The Authentication form is the one signed by a Board President or District Superintendent while the other forms are signed by the System Director.

## Matching Funds

Matching funds of **35%** are required for all **equipment and software of \$5,000 or more**. A system and/or a local library may pay the match. For items requiring a match, the answer to question 5 of the application must supply the full cost of the equipment and indicate the amount requested from LSTA.

## In-kind Funds

Applications require realistic estimates of the **type and dollar amounts** to be applied to implementing the LSTA project. For example, the project may require 10% of a system staff member's time to administer it at a cost of \$X. Partners' and collaborators' time or other resources should be listed as well. The time spent by member library staff in a training workshop is not considered an in-kind contribution, but the time the staff member spends to practice or use what is learned at the workshop could be an in-kind contribution. This information is required because it is used by the State Library to report on the real costs of developing and implementing LSTA projects.

## Expenditure of Funds

### 1. Uses of Funds

- LSTA funds must be spent in accordance with all applicable laws and regulations governing this program.
- Any income earned under this program must be properly accounted for and utilized in accordance with Federal laws and regulations.
- If the applicant wants to contract with someone as an Independent Contractor, the person and the job responsibilities must qualify for that status. Otherwise, the person must be considered (and reported as) a temporary employee.
- LSTA funds may support project-specific travel, particularly within New York State. Out-of-state travel requires significant justification and will not include general attendance at conferences such as NYLA, ALA or PLA.
- LSTA funds cannot:
  - Supplant State or local funds. Except in very limited circumstances, no LSTA funds can be used to pay any portion of the salaries of full-time personnel already being paid by the applicant. **The funds can be used to increase hours of part-time personnel or to hire new temporary personnel.**
  - Pay interest on loans or for political activities.
  - Pay indirect or administrative costs.
  - Pay ongoing telecommunications costs or Internet service provider costs.
  - Pay for costs associated with renovation, remodeling or construction.
  - Rollover from one project time period to another.

## **2. Encumbering Funds**

In order for certain types of purchases, such as equipment, library materials, and supplies, to be received and paid for within a project time period, all grant/contract recipients should order such materials **no later than December 1** of the project time period.

## **3. Requesting Funds and Reporting Expenditures**

Except for the initial 20 percent payment at the beginning of the project, LSTA funds are released on the basis of an approved FS-25 form found on the State Library's LSTA website. **Applicants file the FS-25 form directly with the Division of Library Development on a monthly basis at the address on the form, and the FS-10F (final expenditure report) also goes to the New York State Library's Division of Library Development.**

## **4. Interest Earned from LSTA Funds**

Entities that earn interest on advances from LSTA funds may keep interest amounts up to \$250 per year. Amounts above that amount must be returned to the State Library for return to IMLS.

## **Copyright**

IMLS reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and authorize others to use, for Federal government purposes:

- a. The copyright of any work developed under the grant, subgrant, or contract under a grant or subgrant; and
- b. Any rights of copyright to which a grantee, subgrantee or a contractor purchases ownership with grant support

## **Sharing of Grant Projects and Activities**

Grant recipients are requested to share their projects, project products, and project activities and outcomes as appropriate.

## **Project Evaluation**

The LSTA Program, administered by the Federal Institute of Museum and Library Services (IMLS) must meet the requirement of the Government Performance and Results Act of 1993 to document results of grant activities. IMLS uses the reports of states' subgrantees to show that LSTA grants make a vital contribution to library audiences and their communities. The State Library is committed to showing--to the Institute of Museum and Library Services and the

library community nationwide--that New York's LSTA Program is effective in meeting the needs of library users.

Each LSTA project should have an evaluation plan in place at the beginning of the project because those involved in the activities need to know how to gather data from that point. The plan should include measures to document the results of **project activities (outputs) and results (outcomes) for the users (those that benefit from the project)**. Outputs are a direct program product such as number of workshops given, number of participants served, and types of materials developed. Outputs are typically measured in numbers because they are basically quantitative. **Outcomes are beneficial changes for program participants that include changes in skills, knowledge, behavior, attitude, status, or life condition.**

**For the Service Improvement Invitational Grant Program, the use of outcome-based evaluation is required for any project that involves changes in the target audience's skills, knowledge, behavior, attitude or status as a result of the activities of the project.** Measuring results means that project planners need to focus on what change they would like to see for the participants and plan for how to measure that change in outcome-based evaluation (OBE) terms. OBE answers questions such as "What difference did the program make in people's lives?" and "How did the participant benefit from the program?"

**For projects where OBE is not appropriate, applicants may choose other types of measures (upon approval of the LSTA Coordinator), generally ones that count outputs or document customer satisfaction. However, applicants need to remember that any project that anticipates the participants' learning a new skill or knowledge or exhibiting a change in attitude or behavior must use OBE evaluation.**

OBE informational and training materials, as well as outcome examples, can be found on the State Library website at <http://www.nysl.nysed.gov/libdev/obe/index.html>

### Credit to LSTA

All products, regardless of format or method of distribution and including Internet websites, which are created totally or in part under an LSTA grant should include the following acknowledgement:

**"This publication (product) was supported by (or "in part by") Federal Library Services and Technology Act funds, awarded to the New York State Library by the Federal Institute of Museum and Library Services."**

In addition, flyers and other announcements of library programs and services should carry an acknowledgement such as the following:

**"Supported by (or "in part by") Federal Library Services and Technology Act funds, awarded to the New York State Library by the Federal Institute of Museum and Library Services."**

## Reports

A final narrative report and a final expenditure report (FS-10F) for the project will be due by **April 30, 2013**. These forms will be posted on the LSTA website for the Service Improvement Invitational Grant Program.

Questions about this Invitational Grant Program may be directed to Mary Linda Todd, State Library LSTA Coordinator at 518-486-4858, [mtodd@mail.nysed.gov](mailto:mtodd@mail.nysed.gov).

**Two hard copies of the completed application (one with original signatures), budget(FS-20) and all related forms must be received in the offices of the State Library's Division of Library Development by 5 pm Wednesday, March 7, 2012.** Additionally, an electronic copy of the narrative and the FS-20 must be sent to Mary Linda Todd, LSTA Coordinator at [mtodd@mail.nysed.gov](mailto:mtodd@mail.nysed.gov) by the March 7 deadline.