

# LSTA Resources and Guidelines 2018-2019

Documents and Guidelines to assist in completing the LSTA grant application

Utah State Library Division

## LSTA Resources, Eligibility Guidelines, and Procedures

The following documents are resources to assist you in completing the LSTA Grant application.

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# LSTA Grant Eligibility Criteria

## General Eligibility

To be eligible to receive LSTA funds from the Utah State Library Division, all applicant libraries must meet the following criteria:

- 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
- Have sufficient staffing ability and fiscal capability to successfully implement, complete, and evaluate results of the project

## Public Libraries

- Meet the definition of public library as outlined in the document [Standards for Utah's Public Libraries](#):
  - An entity that is established under state enabling laws or regulations to serve a community, district, or region, and that provides at least the following:
    - An organized collection of printed or other library materials, or a combination thereof
    - Paid staff
    - An established schedule in which services of the staff are available to the public
    - The facilities necessary to support such a collection, staff, and schedule
    - Is supported in whole or in part with public funds
- Employ at least one half time staff that serves as the Project Director for LSTA Grants who attends all applicable grant training
- Have an ongoing line item budget for library materials
- Meet the Children's Internet Protection Act (CIPA) requirements

## Academic Libraries

- Serve a public college or university located in Utah
- Be a member of the Utah Academic Library Consortium (UALC)
- Provide public access to its collection
- Participate in interlibrary loan resource-sharing services to libraries in Utah

## Institutional Libraries

- An institution must receive 50% or more of its operating funds from a State of Utah agency
- Have an organized collection and materials budget
- Provide services to Utah residents
- Employ at least one half time staff that serves as the Project Director for LSTA Grants who attends all applicable grant training

## **Public and Charter School Libraries**

- Meet the definition of a school library: a dedicated facility in the school building (or a nearby district-operated facility) that provides access during school hours to a collection of print, non-print, electronic, and internet-based materials, with instruction that enhances students' research and literacy skills
- Serve a public or charter school in Utah
- Have a board-approved collection development policy
- Have Children's Internet Protection Act (CIPA) certification
- Have an ongoing line item budget for library materials
- Use LSTA funds to strengthen the school library, not classroom resources
- A certificated library media teacher within the district must be directly involved in the administration, implementation, evaluation, and reporting of the LSTA grant

## **Special Libraries**

- Serve as a library for a governmental unit or non-profit organization
- Provide services to Utah residents
- Employ at least one half time staff that serves as the Project Director for LSTA Grants who attends all applicable grant training

## **Tribal Libraries**

- Be recognized and supported by a tribal government in Utah
- Demonstrate an ability to provide quality information to patrons

## **Library Consortia**

Eligible consortia may be formally established consortium, or a conditional consortium of libraries, school districts, or school library media centers, all of whose members meet the eligibility criteria above, and have designated one Project Manager and Fiscal Officer by whom the contract will be signed for the group. The application must be submitted by one library, school district or educational service center on behalf of the consortium. The applying library, school district or educational service center shall serve as the administrative and fiscal agent for the grant.

## **Research and Private Libraries**

These libraries must be certified as eligible by the Utah State Library Board based on the requirements that the library employs a formally trained librarian with a master's degree in library or information science from an ALA-accredited program, Library Media Endorsement, or has completed or is enrolled in the UPLIFT Basic Certification program; must make publicly available library services and materials suitable for scholarly research not otherwise available to the public, and that the library is not an integral part of an institution of higher learning.

## Allowable Costs

### Allowable 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. The following are also allowable costs under specific topic areas:

#### Personnel

##### Salaries and Benefits & Contract Services

LSTA funds may be used to pay for contract services on a conditional basis. The contractor must be working exclusively on the LSTA grant project. Documentation must be kept on duties performed when being paid with LSTA funds. Check your specific Circular (see below) for any restrictions.

##### Continuing Education & Training

Library staff and (where relevant) other library related individuals may need to receive training so that they can develop and deliver services directly related to the LSTA grant project. For example, a library is going to offer early literacy classes to their patrons. LSTA funds may be used for the training of librarians to carry out this service.

#### Operating

##### Advertising

- Expenses involved in a project to inform the public or the media about specific LSTA grant projects
- Brochures and bookmarks, charged to an LSTA project to carry out that specific project
- To promote events being held during the project, for example story times, ESL classes, etc.
- To announce outcomes of the completed LSTA project.

##### Supplies, Printing, Postage

Most of these costs are allowable as long as they are used only in the commission of the LSTA grant project.

##### Promotional Materials

A general guiding question often used is whether a prudent person would determine that the items are directly related to the LSTA grant project, and a factor may be whether the items are more educational and informational in nature than promotional.

##### Travel Costs

Most travel costs associated with the grant project may be paid with LSTA funds. Costs will be reimbursed based on the existing travel policies, per diem and mileage rates of the State of Utah. Travel will only be reimbursed for individuals directly working on the LSTA grant project.

#### Capital Expenditures

##### Furniture

There are some situations where furniture is an allowable LSTA expense. For example, if you are using LSTA funds to purchase new computers for your patrons you may purchase computer tables to place them on and chairs to sit in while using them.

## Unallowable Costs

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

- Administrative fees or costs (fringe benefits, payroll taxes, sales taxes)
- Advocacy or Lobbying fees or costs
- Alcoholic beverages
- Bad debts
- Building construction or renovation costs
- Capital expenditures
- Collection development purchases not targeted directly to the grant goals
- Contingencies
- Contractors that are not offering services for the LSTA project
- Contributions and donations
- Entertainment / Performances – including amusement, diversion, and social activities, and any costs associated with such activities (food, entertainers, rentals, gratuities, alcohol, etc.); costs of ticket to shows or sporting events.
- Equipment or technology not specifically needed to carry out the goals of the grant
- Fines and penalties
- Food
- Furniture (built-in). Some furniture may be allowable as part of the grant project. Check with the Grants Coordinator before purchasing
- Gifts, honoraria, stipends, or awards
- Promotional items – key chains, t-shirts, etc.
- Incentives, rewards
- Interest and other financial costs
- 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 subgrantee, the amount of the interest must be refunded to the Utah State Library Division, and subsequently returned to IMLS
- Staff salaries and benefits – LSTA funds can pay only for staff working on the grant project and only for the hours that they work on the project
- Transportation equipment
- Under recovery of costs under grant agreements (excess costs for one grant application is not chargeable to another grant application)

## Federal Office of Management and Budget (OMB) Circulars

Allowable costs are defined and discussed in detail in the following OMB Circulars. If you would like more information, please refer to the appropriate publication for your type of library:

**Public libraries** – OMB Circular A-122 (relocated to 2 CFR, Part 230)

[https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A122/a122\\_2004.pdf](https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A122/a122_2004.pdf)

**School libraries** – OMB Circular A-21 (related to 2 CFR, Part 220)

[https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A21/a21\\_2004.pdf](https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A21/a21_2004.pdf)

**Indian Tribal Governments/Libraries** – OMB Circular A-87 (relocated to 2 CFR, Part 225)

<https://www.gpo.gov/fdsys/granule/CFR-2012-title2-vol1/CFR-2012-title2-vol1-part225>

## 2018-2019 LSTA Grant Applications Step-by-Step

### Identification

**1. Applicant meets all the eligibility criteria for its type of library**

This is the acknowledgement that the applicant library meets criteria to be designated a “library” by Federal or State of Utah statutes, to be eligible for LSTA funding. Refer to *Appendix A - Eligibility Criteria* to determine your library’s eligibility.

**2. Library Type**

Check the box that best describes your library, library consortium, or library-related organization.

**3. Project Title**

This is the name of the project. The title should be concise and explanatory. You do not have to include the name of your library in the title.

**4. Name of Applicant Library**

This is the full name of the library that is the primary location for implementation of the project. Typically, the Project Director for the grant will be located at this library.

**5. DUNS Number**

Starting in 2011, the Institute of Museum and Library Services (IMLS) requires that all State Libraries report information on federal grant awards. This requirement comes from the Federal Funding Accountability and Transparency Act (FFATA). The Act is intended to empower every American with the ability to hold the government accountable for each spending decision.

The DUNS number is a unique nine-digit identification number for each physical location of your library. The number is provided by Dun & Bradstreet. The Fiscal Officer may have or be able to request a DUNS number for your library, although most libraries already have a DUNS number assigned to it. For more information or to request a DUNS number, go to: <http://fedgov.dnb.com/webform>

**6. - 9. Project Director**

The Project Director is the person responsible for the implementation, day-to-day management, completion, evaluation, and reporting aspects of the project. If the project has partners, other persons may have delegated responsibilities for the project, under the leadership of the Project Director. Typically, the Project Director is the Library Director, but can also be a designated library staff person.

**10. - 13. Project Fiscal Officer**

This is the person responsible for the receipt, management, and disbursement of LSTA funds. For public libraries, this person may be the city or county treasurer, the city or county auditor, or the library’s financial manager or director. For school libraries, this person may be the school principal or an administrator in the school district office. For academic libraries, this person may be the library director or an officer in the financial or business office. For special libraries, this person may be the library director or development officer.

**14. IMLS Intents (Intended Outcomes)**

From the categories defined by IMLS, check only **ONE** box that describes the intended outcome of your project. Intents are listed below for your reference.

- **INFORMATION ACCESS** - Improve users' ability to discover information or obtain information resources. Improve users' ability to obtain and/or use information resources.
- **CIVIC ENGAGEMENT** - Improve users' ability to engage in their communities or participate in community conversations around topics of concern.
- **EMPLOYMENT & ECONOMIC DEVELOPMENT** – Improve users' ability to apply information that furthers the status of their jobs and/or businesses. Improve users' ability to use and apply business resources.
- **HUMAN SERVICES** – Improve users' ability to apply information that furthers their personal, family or household circumstances, including household finances, health and wellness, or parenting and family skills.
- **INSTITUTIONAL CAPACITY** – Add, improve or update a library function or operation in order to enhance its effectiveness. This includes enhancement and education of the library workforce as well as improving the library's physical and technological infrastructure.
- **LIFELONG LEARNING** – Improve users' knowledge or abilities beyond basic access to information. This includes formal education of participants or improvement of general knowledge and skills.

#### 15. Utah State Library's LSTA Five-Year Goals

From the categories defined by Utah State Library's five-year plan, check the boxes that most closely describe the main goals of your project. Goals are listed below for reference.

- **INFORMATION ACCESS** All residents of Utah will have access to the quality information resources they need to succeed at school, at work, and in their daily lives.
- **INSTITUTIONAL CAPACITY** All residents of Utah will have convenient access to libraries and library services that are technologically advanced, efficiently operated and staffed by knowledgeable, helpful workers who employ the best professional practices.
- **LIFELONG LEARNING** All residents of Utah will have access to library resources that promote literacy, education, and lifelong learning and enhance workforce development, 21st century skills, and digital literacy.
- **CIVIC ENGAGEMENT** All residents of Utah will expand their involvement in community life as a result of participation in community-based programs held through the library.

### Grant Project Narrative

There are two aspects to developing a well-written project narrative: *thinking* about the project and *writing* about the project. Thinking about and answering the questions under this section benefit the consistency, comprehensiveness and strength of your Project Narrative. Refer to Appendix B - **LSTA Project Evaluation Criteria** for information on what reviewers will be looking for as they review grant applications

#### 16. Evidence of Need

- The evidence of need should be between 150 and 200 words



- Think of this section as the hook to show panelists your project is necessary. In four to seven concise sentences describe:
  - A clear outline of what the need is.
  - The process by which you determined this need, including any statistics you may have gathered in the process.
  - How you plan to address the need with this project.
  - The goals of this project and how they will be met.

## 17. Project Description

- The description should be between 250 and 500 words
- Answering some or all of these questions might help you to think about what information to include:
  - Activities: What activities will we accomplish to reach our previously outlined project goals?
    - Target Audience
      - How many people are expected to participate in/benefit from this project?
      - What are their characteristics?
      - What is their need?
    - Money
      - How much money is needed to accomplish this project?
      - How much money does the library have to contribute towards the project? (local funds or match)
      - What other funding resources – partners or in-kind – are available?
    - Materials/Equipment
      - What materials/equipment will need to be purchased to accomplish this project? What is the cost?
      - What is the timeline for getting the materials/equipment?
      - What vendors need to be contacted?
      - What purchasing guidelines need to be followed?
    - Location
      - Do we have the space we need to accomplish this project at our location (including of new items purchased for this project)?
      - If the project involves training or workshops, where will these be held?
      - What are the costs related to a location for training/workshops (room rental, etc.)?
    - Staffing/Partners
      - What library staff is needed to accomplish this project?
      - How much staff time will this project take for each participant?
      - What will be their activities and responsibilities?
      - Will our staff need to travel for any reason as part of this grant?
      - Who are my potential partners for this project?
      - How much of the partners' time will be needed to accomplish this project?
      - How much support can partner(s) give to the project? What will that support look like (time, materials, etc.)?
    - Publicity
      - How should this project be publicized?
      - How will the project be publicized to the target audience?
      - How will the project be publicized to the larger community?
      - What resources (TV, radio, newspapers, websites, etc.) are available?

- How will the requirement to acknowledge IMLS and the Utah State Library Division be accomplished (flyers, stickers, articles)?
- How and when do you plan to share the results of this project with our community? (newspapers, online, other media)

### **18. Project Schedule (Timeline)**

- The project schedule should be 150-200 words.
- Present a month-by-month timeline for project activities within the fiscal year (i.e., a list of actions with a date by which they will be accomplished); provide verification that facilities will be available, equipment and materials delivered; and explain how staff will be hired and/or trained in time to carry out the services and activities planned.

### **19. Outcomes**

- The outcomes should be between 250-500 words.
- Start with the outcome(s) that you expect to see in your target audience as a result of your project. Outcomes are a change (preferably an improvement) in the target audiences' skills, attitudes, knowledge, behaviors, and status or life conditions. A project may have more than one expected outcome, but usually not more than three. Consider these questions to determine your anticipated outcomes:
  - What community need will this project satisfy?
  - How will you know you have satisfied the need?
  - What change(s) should occur in the target audience of this project?
  - How will you measure the change(s)?
  - What outcomes will be recognized in people's behavior, attitude, skills, knowledge, life status, or life condition resulting from this project?
  - How many organizations or libraries will benefit from this project?
- For each determined outcome, clearly specify which activities that library staff or partners will accomplish to achieve said outcome(s). Make it very clear that your planned activities will be carrying out the outcomes you determined. If you are unsure how to accomplish an outcome with your activity, you may want to reassess either your planned activities or outcomes.

### **20. Strategies**

Check the boxes for all of the strategies you will use to measure the success of this project.

### **21. Evaluation**

- The evaluation should be 100-200 words
- Discuss how you are going to incorporate evaluation strategies selected in question 20 throughout the project, not just as an add-on at the end. The evaluation methods that you use should measure the success of the activities to bring about the desired outcome(s) and relate back to project goals. Answering the following questions may help determine what information to include:
  - How many participants are expected to achieve the outcome(s), i.e. show a change?
  - How will measurement tools indicate if participants have achieved the outcome or desired change?
  - What evidence will be produced to show that the project made a difference?
  - Who will analyze the information that is gathered?
  - How will the outcomes be reported?

For more information about how the IMLS uses outcome based evaluations, please visit [http://www.imls.gov/applicants/outcome\\_based\\_evaluations.aspx](http://www.imls.gov/applicants/outcome_based_evaluations.aspx). To learn more about implementing outcome based evaluation in your library projects, visit <https://www.imls.gov/grants/outcome-based-evaluations>

## 22. Digitization

Check the box that applies to your project concerning digitization of materials.

## 23. Attachments

If you have any supporting documentation you would like to include in the application, please upload them here. This could include photos, price quotes, press coverage of need, etc.

## Indirect Cost Rates

In accordance with new federal regulations implemented through 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, all Notice of Grant Awards must reflect a subgrantee's federal indirect cost rate.

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 general telephone service, utilities, Internet, postage, office supplies, office space expenses, and administrative or financial operations for an entire organization.

You have several options concerning indirect cost rates: not include any indirect costs, use a previously negotiated indirect cost rate, use an indirect cost rate proposed to a federal agency but not yet approved, or use a rate not to exceed 10% of modified total direct costs if you have never had a federally negotiated indirect cost rate and you are not subject to other requirements (e.g., for States and Local Governments and Indian Tribes). You may use a rate less than your negotiated indirect cost rate if your institution approves using that rate.

If you would like to use an indirect cost rate but have not gone through the proposal process prior to now, please contact the Grants Coordinator immediately to begin the process.

## Budget and Budget Narrative

First, please review *Appendix C - Allowable Costs* to familiarize yourself with the approved expense categories and see examples of allowable costs.

Complete the Budget section of your LSTA grant project following these steps:

### 24. Total Project Costs

Determine the *Project Total* amount of funds you will need to complete the project. At this point, don't divide federal, local or in-kind amounts; just the total dollar amount for the entire project.

### 25. Local Funds

If you will be using any *Local Funds* to complete the project, include this amount here.

### 26. In-Kind Services

If you have any *In-Kind Services* offered that will help to complete the project, include the equivalent dollar amount in the budget form. In-kind services are usually donations of personnel, space, or supplies. Use the local prevailing wage per hour for the job, or rental space, or the price it would cost you to purchase the items locally as the dollar equivalent.

## **27. LSTA Funds Requested**

To calculate your *LSTA Funds Requested* amount subtract the *Local Funds* and *In-Kind Services* amounts from the *Project Total* costs. This is the amount of LSTA funds you will be requesting from the State Library.

If your project budget includes salaries and benefits, please review *Appendix D - Salary and Wage Reimbursement*. Please note that equipment includes individual items with a value of more than \$5,000 and a useful life of more than one year.

## **27-32. Specific budget line items**

Please answer questions 27 through 32 as they pertain to your project based on the guidelines in the application. Your answer should include the total dollar amount for that area as well as what the items are, generally. This may look like \$100 – Books in the Supplies category. If you will not be spending money in that area, please indicate by entering “NA.”

## **33-38. Budget Narrative**

Please describe how you are going to expend the money listed in each category of the budget form. This described budget may be in the form of a list. Be specific, but avoid too much detail. For example: 100 children’s picture books and juvenile fiction books, gives reviewers an understanding of the proposed expenditures without listing titles. This narrative should also include how you determined the estimated amounts in your budget.

## **39. Financial Sustainability**

Describe what plans the library has in place to ensure the project will continue after the grant period ends.

- How will activities or benefits from the project be continued after the LSTA grant is completed? Who is responsible for achieving these tasks?

## **Partnerships**

Libraries are encouraged to partner with other organizations when applying for LSTA funds. Libraries might consider such partners as museums, archives, cultural organizations, schools, tribal and governmental entities, social service agencies, local businesses or other community organizations.

All partners must benefit from the project, and those benefits should be clear in the *Project Description* portion of this application. The library must serve as the applicant for the grant funds and assume fiscal responsibility if the grant is awarded.

## **40. Partnerships/Collaborators**

Please indicate if you will be using a partner for this project. Be sure that all potential partners have been contacted before including them in the grant proposal.

## **41. Partnership Statement**

Include a signed *Partnership Statement* from each partner. A downloadable form for this Statement is located in the application.

## Federal Assurances and Children's Internet Protection Act (CIPA)

These assurances (see *Appendix E - Federal Assurance Forms*) are required by IMLS, the federal agency that oversees LSTA funding. Please read this information carefully. Note that the certification responsibilities extend beyond the grantee (Utah State Library Division) to the subgrantee (the libraries requesting LSTA funds) and subcontractors (any partners or vendors involved in the completion of the grant project). The assurances will also be listed in the online application.

**42-45.** Please fill in the requested information as an acceptance of the listed assurances.

# LSTA Competitive Grant Program

## SCORING CRITERIA

Project Narrative – Evidence of Need (15 points maximum)		
<ul style="list-style-type: none"> <li>Provides clear and convincing evidence of need.</li> <li>Clearly describes needs assessment process, including how stated need was determined.</li> <li>Well thought out plan on how needs will be met.</li> <li>Strongly connects need and goals of proposed project.</li> <li>Genuinely interested in benefits the target audience will receive.</li> </ul>	<ul style="list-style-type: none"> <li>Provides evidence of need.</li> <li>Partially describes needs assessment process and how stated need was determined.</li> <li>Provides some discussion on how needs will be met.</li> <li>Shows some connection between need and the goals of the proposed project.</li> <li>Some consideration given to actual benefits the targeted audience will receive.</li> </ul>	<ul style="list-style-type: none"> <li>No evidence of need indicated or inadequate.</li> <li>Does not describe needs assessment or how need was determined.</li> <li>Does not address how needs will be met.</li> <li>Shows little or no connection between needs and proposed project.</li> <li>No discussion on benefits to the targeted audience.</li> </ul>
<b>11 – 15 points</b>	<b>6 –10 points</b>	<b>0 – 5 points</b>

Project Narrative – Description & Outcomes (20 points maximum)		
<ul style="list-style-type: none"> <li>Relates directly to stated goal(s) and will make progress towards stated goal(s).</li> <li>Clearly describes appropriate methods or strategies for meeting project goals.</li> <li>Shows consistent and coherent link to measurable objectives.</li> <li>Clearly describes appropriate project outcomes.</li> <li>Shows consistent and coherent link to target audience.</li> <li>Includes both impact and benefits the project will have on/provide to the target audience</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrates some relationship with goal(s).</li> <li>Describes methods and strategies for meeting project goals.</li> <li>Shows links that are vague or incoherent.</li> <li>Inadequately refers to project outcomes.</li> <li>Includes impact on the project but doesn't show an association with the target audience.</li> <li>Includes the benefits of the project but doesn't show how they will address the target audience's needs.</li> </ul>	<ul style="list-style-type: none"> <li>Shows little or no relationship to goal(s).</li> <li>Does not include methods/ strategies for meeting project goals.</li> <li>Does not show link to measurable objectives.</li> <li>Does not include project outcomes.</li> <li>Does not address any of the impacts the project may have on or provide to the target audience.</li> <li>Does not show benefits the project provide to target audience.</li> </ul>
<b>14 – 20 points</b>	<b>8 –13 points</b>	<b>0 – 7 points</b>

Project Narrative - Project Schedule/Timeline (10 points maximum)		
<ul style="list-style-type: none"> <li>Timeline includes a list of actions with specific target dates and is clearly relevant to achieving established objectives</li> <li>Timeline seems achievable within the project period</li> <li>Use of facilities, equipment and/or materials fully explained and relevant to project</li> <li>Full explanation of hiring or training of staff that will allow</li> </ul>	<ul style="list-style-type: none"> <li>Timeline exists, but is not clearly relevant to achieving project goals</li> <li>Timeline seems unachievable within the project period</li> <li>Some verification regarding facilities, equipment and/or materials, but not clearly related to project</li> <li>Brief or incomplete explanation of hiring or training of staff to carry out project in project period</li> </ul>	<ul style="list-style-type: none"> <li>Timeline is missing or incomplete (i.e., does not include a list of actions with specific target dates)</li> <li>No verification regarding facilities, equipment and/or materials</li> <li>No explanation of hiring or training of staff to carry out project in project period</li> </ul>

project to be carried out during the project period, if relevant		
<b>8 – 10 points</b>	<b>4 – 7 points</b>	<b>0 – 3 points</b>

<b>Project Narrative - Evaluation (15 points maximum)</b>		
<ul style="list-style-type: none"> <li>Clearly relates to goals, objectives, and outcomes.</li> <li>Will effectively determine success of the project and its impact.</li> <li>Includes adequate amount for evaluation in budget, if needed.</li> </ul>	<ul style="list-style-type: none"> <li>Provides partial link to goals, objectives, and outcomes.</li> <li>Provides some indication of the success of the project.</li> <li>Minimal amount included for evaluation in budget, if needed.</li> </ul>	<ul style="list-style-type: none"> <li>Does not relate clearly to goals, objectives, and outcomes.</li> <li>Will not clearly determine success of the project.</li> <li>No funding for evaluation included in the budget, if needed.</li> </ul>
<b>11 – 15 points</b>	<b>6 – 10 points</b>	<b>0 – 5 points</b>

<b>Project Narrative - Innovation and Creativity (10 points maximum)</b>		
<ul style="list-style-type: none"> <li>Project improves library services for target audience by introducing a new service.</li> <li>Project uses new technologies, materials, or programs.</li> <li>Creative use of LSTA funds that addresses a community need.</li> <li>Project can be replicated at other Utah libraries.</li> </ul>	<ul style="list-style-type: none"> <li>Project improves library services for target audience by expanding on an existing service.</li> <li>Project uses existing technologies, materials, or programs.</li> <li>Builds on a project already funded with LSTA (either same library or another library in Utah).</li> <li>Project may be replicated at other Utah libraries.</li> </ul>	<ul style="list-style-type: none"> <li>Project does not improve library services for target audience.</li> <li>Project uses old technologies, dated materials, or programs.</li> <li>Project does not employ any new ideas, activities or concepts, or is based on projects funded 5+ years ago.</li> <li>Project cannot be replicated.</li> </ul>
<b>8 – 10 points</b>	<b>4 – 7 points</b>	<b>0 – 3 points</b>

**Highest possible score for Project Narrative section= 70**

<b>Budget and Budget Narrative (15 points maximum)</b>		
<ul style="list-style-type: none"> <li>Clearly lists how the dollars will be used for the project.</li> <li>All activities in the project summary are represented by a dollar amount in the budget and described in the budget narrative.</li> <li>Describes local/matching funds.</li> <li>Budget form completely filled out per directions (complete, rounded numbers that total correctly).</li> </ul>	<ul style="list-style-type: none"> <li>Does not clearly list how the dollars will be used for the project.</li> <li>Not all activities in the project summary are represented by a dollar amount in the budget form or described in the narrative.</li> <li>Brief mention of who will be contributing matching funds.</li> <li>Budget form partially filled out per directions (complete, rounded numbers, amounts total correctly).</li> </ul>	<ul style="list-style-type: none"> <li>Provides no description, beyond the budget sheet, of how funds will be spent.</li> <li>Budget narrative incomplete.</li> <li>No local cash or in-kind contributions for project*</li> <li>Budget form not filled out per directions (incomplete, unrounded numbers, all amounts do not total correctly).</li> </ul>
<b>11 - 15 points</b>	<b>6 - 10 points</b>	<b>0 - 5 points</b>

*\*Local (match) funds and in-kind contributions are not required, but are encouraged.*

<b>Budget - Sustainability (10 points maximum)</b>		
<ul style="list-style-type: none"> <li>Clear evidence of sustainability after grant project ends.</li> </ul>	<ul style="list-style-type: none"> <li>Some evidence of sustainability after grant project ends.</li> </ul>	<ul style="list-style-type: none"> <li>No evidence of sustainability after grant project ends.</li> </ul>
<b>8 – 10 points</b>	<b>4 – 7 points</b>	<b>0 – 3 points</b>

**Highest possible score for Budget section = 25**

Partnerships – Collaborations & Outreach (5 points maximum)		
<ul style="list-style-type: none"> <li>Clearly describes a working relationship between two or more different libraries or organizations.</li> <li>The relationship is clearly viable, the partners are eligible, and the patrons' needs will be <i>better met</i> through the partnership.</li> <li>Applicant included complete Partnership Statements for each organization involved.</li> <li>Includes outreach component.</li> </ul>	<ul style="list-style-type: none"> <li>Contains some reference to a working relationship, and how the goals/objectives/activities will be accomplished.</li> <li>The libraries/organizations involved in the relationship appear to be eligible.</li> <li>Applicant included partnership statements for some organizations involved in the project, or provided incomplete statements.</li> <li>Vague or incomplete outreach component.</li> </ul>	<ul style="list-style-type: none"> <li>Applicant did not choose a partnership or collaboration.</li> <li>If a partnership or collaboration was chosen, the application does not clearly describe how it will work to achieve project goals.</li> <li>Applicant did not include Partnership Statement for organizations involved in the project.</li> <li>Lacks outreach component.</li> </ul>
<b>4 - 5 points</b>	<b>3 - 2 points</b>	<b>0 – 1 points</b>

Highest possible score for Partnership section = 5



# LSTA Grants Salary and Wage Reimbursement

## General Guidelines

The following information applies whether the employee works solely or partially on the LSTA grant project. Requests for reimbursement for salaries, wages or benefits accrued while working on an LSTA grant project **require** two supporting documents:

1. Timesheets, and
2. Proof of compensation.

Requests for reimbursement for salaries, wages, or benefits that do not provided supporting documentation **will not** be approved.

## Timesheet

You may use a timesheet from your agency, organization, or library; or you may use the example on the following page. An Excel version of the timesheet is also available on our website.

All timesheets **must** include the following information:

1. Dates of the week and month
2. Actual hours worked per day on the LSTA project
3. Actual total hours worked per week on the LSTA project
4. Actual total hours worked for the month on the LSTA project
5. Printed name and signature of the employee who worked
6. Printed name and signature of the employee's supervisor
7. Supervisor must have first-hand knowledge of work performed by employee
8. There **must** be a separate timesheet completed for each employee for whom funds are being requested

## Proof of Compensation and Distribution

These records demonstrate that the employee was actually compensated for work on the LSTA grant project.

The Payroll Department for your agency, organization or library should be able to generate the reports that are required.

Payroll documents that are in accordance with generally accepted accounting practice of your institution and are approved by a responsible official of your institution may be used for this purpose.

Payroll Documents **must**:

1. Reflect an after-the-fact distribution of the actual activity of each employee
2. Account for the total activity for which each employee is compensated
3. Be prepared at least monthly and must coincide with one or more pay periods
4. Represent actual costs
5. Be confirmed by responsible persons with suitable means of verification that the work was performed. Confirmation by the employee is not a requirement if other responsible persons make appropriate confirmations.

### Sample Timesheet

Date
Project Title
Name of Applicant Library
Employee's Name
Employee's Hourly Wage

Pay Week Dates	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Hours Worked per Week
Total Hours Worked								
Hourly Wage								\$
Total Wages								\$

**I certify that the hours listed above are an accurate account of the hours I worked on the LSTA project.**

Employee's Name (Printed)
Employee's Signature

**I certify that the information above is an accurate account of the hours worked by the employee.**

Supervisor's Name (Printed)
Supervisor's Signature

## Federal Assurance Forms

*These pages are required by the Institute of Museum and Library Services (IMLS), the federal agency that oversees LSTA funding.*

**Subgrantee and Subcontractors.** These terms refer to the applicant library and any vendors the library might use to complete the proposed project. Certification responsibilities extend beyond the grantee (Utah State Library Division) to subgrantees (Libraries) and subcontractors (Vendors and Partners) under certain circumstances. For more information on terms used in this section please refer to the ***Definitions of Federal Assurances Terms***, after the Assurances.

### **Certification Regarding the Non-discrimination Statutes and Implementing Regulations**

(Applies to Recipients Other than Individuals)

The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin (note: as clarified by Executive Order 13166, reasonable steps must be taken to ensure that limited English proficient (LEP) persons have meaningful access to the programs (see IMLS guidance at 68 Federal Register 17679, April 10, 2003)); (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq. including §794), which prohibits discrimination on the basis of disability (note: IMLS applies the regulations in 45 C.F.R part 1170 in determining compliance with § 504 as it applies to recipients of Federal assistance); (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681– 83, 1685–86), which prohibits discrimination on the basis of sex in education programs; and (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age. (e) the requirements of any other nondiscrimination statute(s) which may apply.

### **Certification Regarding Debarment and Suspension**

The applicant shall comply with 2 C.F.R. Part 3185 and 2 C.F.R. Part 180, as applicable. The authorized representative, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant nor any of its principals: are presently excluded or disqualified; have been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. § 180.800(a) or had a civil judgment rendered against it or them for one of those offenses within that time period; are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses listed in 2 C.F.R. § 180.800(a); or have had one or more public transactions (Federal, State, or local) terminated within the preceding three years for cause or default.

Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

The applicant, as a primary tier participant, is required to comply with 2 C.F.R. Part 180 subpart C (Responsibilities of Participants Regarding Transactions Doing Business with Other Persons) as a condition of participation in the award. The applicant is also required to communicate the requirement to comply with 2

C.F.R. Part 180 subpart C (Responsibilities of Participants Regarding Transactions Doing Business with Other Persons) to persons at the next lower tier with whom the applicant enters into covered transactions.

As noted in the preceding paragraph, applicants who plan to use IMLS awards to fund contracts should be aware that they must comply with the communication and verification requirements set forth in the above Debarment and Suspension provisions.

In addition, the applicant agrees by submitting a proposal that, should the proposal be funded with LSTA federal funds, the grantee shall not knowingly enter into any project-related transactions (as defined under “lower tier covered transaction”) with a person who is debarred, suspended, proposed for debarment, ineligible or voluntarily excluded from participation on this covered transaction, unless authorized by the IMLS.

The applicant further agrees by submitting this proposal to include without modification the following cause in all lower tier covered transactions in all solicitations for lower tier covered transactions:

1. The prospective lower tier participant certified, by submission of the proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

A grantee may rely on the certification of a prospective sub-recipient that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A grantee may decide the method and frequency by which it determines the eligibility of its “principals.”

Except when specifically authorized by the IMLS, if a grantee knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to the remedies available to the federal government, the IMLS may terminate this transaction for cause or default.

### **Certification Regarding Lobbying Activities**

(Applies to Applicants Requesting Federal Funds in Excess of \$ 100,000)

The authorized representative certifies, to the best of his or her knowledge and belief, that:

- a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the authorized representative, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

- b. If any funds other than Federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant, as provided in 31 U.S.C. § 1352) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the authorized representative shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- c. The authorized representative shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is placed when the transaction is made or entered into. Submission of this certification is a prerequisite for making or entering into the transaction imposed by 31 U.S.C. § 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure, or as otherwise required by law. In addition, in accordance with Federal appropriations law, no IMLS funds may be used for publicity or propaganda purposes for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government. No IMLS funds may be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body.

### **Certification Regarding Trafficking in Persons**

The applicant must comply with Federal law pertaining to trafficking in persons. Under 22 U.S.C. § 7104(g), any grant, contract, or cooperative agreement entered into by a Federal agency and a private entity shall include a condition that authorizes the Federal agency (IMLS) to terminate the grant, contract, or cooperative agreement, if the grantee, subgrantee, contractor, or subcontractor engages in trafficking in persons, procures a commercial sex act, or uses forced labor. 2 C.F.R. part 175 requires IMLS to include the following award term:

- a. Provisions applicable to a recipient that is a private entity.
  1. You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not –
    - i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
    - ii. Procure a commercial sex act during the period of time that the award is in effect; or
    - iii. Use forced labor in the performance of the award or subawards under the award.
  2. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity –
    - i. Is determined to have violated a prohibition in paragraph a.1 of this award term; or

- ii. Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either –
  - A. Associated with performance under this award; or
  - B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 C.F.R. part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 2 C.F.R. part 3185.
- b. Provision applicable to a recipient other than a private entity. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity –
  1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or
  2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either –
    - i. Associated with performance under this award; or
    - ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 C.F.R. part 180, “OMB Guidelines to Agencies on 9 Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 2 C.F.R. part 3185.
- c. Provisions applicable to any recipient.
  1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.
  2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:
    - i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. § 7104(g)), and
    - ii. Is in addition to all other remedies for noncompliance that are available to us under this award.
  3. You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.
- d. Definitions. For purposes of this award term:
  1. “Employee” means either:
    - i. An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
    - ii. Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
  2. “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
  3. “Private entity”:
    - i. Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 C.F.R. part 175.25.

- ii. Includes:
  - A. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 C.F.R part 175.25(b).
  - B. A for-profit organization.
- 4. “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. § 7102).

#### **Internet Safety Certification**

(b) Internet Safety Pursuant to 20 U.S.C. § 9134(b)(7), the State Library Administrative Agency provides assurance that it will comply with 20 U.S.C. § 9134(f), which sets out standards relating to Internet Safety for public libraries and public elementary school and secondary school libraries that do not receive services at discount rates under § 254(h)(6) of the Communications Act of 1934, and for which IMLS State Program funds are used to purchase computers used to access the Internet or to pay for direct costs associated with accessing the Internet. (See links to Children’s Internet Protection Act (CIPA) in *Appendix F- Definitions of Federal Assurance Terms*).

#### **Acknowledging IMLS**

You and your subrecipients must acknowledge IMLS in all related publications and activities supported with your award money. An example acknowledgement would read: “This program was funded in part with a Federal award from the Institute of Museum and Library Services.” A kit with suggestions and materials to help you and your subrecipients publicize grant activities is available at <https://www.imls.gov/grants/grantrecipients/grantee-communications-kit>. If you have any questions or need assistance, you may contact staff in the Office of Communications and Government Affairs at (202) 653-4757.

## Definitions of Federal Assurance Terms

### **Covered Transaction**

A covered transaction is either a primary or lower-tier covered transaction.

### **Debarment**

An action taken by a debarring official in accordance with 45 CFR Part 1185 to exclude a person from participating in covered transactions. A person so excluded is “debarred.”

### **Debarment and Suspension**

The applicant agrees by submitting a proposal that should the proposal be funded by the Institute of Museum and Library Services (IMLS), it shall not enter into any project related transactions with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the IMLS. It should be noted that, in terms of this certification, the legal definition of “person” includes organizations as well as individuals.

### **Ineligible**

Excluded from participation in federal non-procurement programs pursuant to a determination of ineligibility under statutory, executive order or regulator authority, other than Executive Order 12549.

### **Lobbying Activities**

Those who receive a subgrant, contract, or subcontract exceeding \$100,000 at any tier under an IMLS grant are required to file a certification and, when necessary, a disclosure form, to the next tier above.

### **Lower Tier Covered Transaction**

- a) Any transaction between a participant and a person other than a procurement contract for goods or services, regardless of type, under a primary covered transaction.
- b) Any procurement simplified acquisition threshold (currently \$100,000) under a primary covered transaction.
- c) Any procurement contract for goods or services between a participant and a person under a covered transaction, regardless of amount, under which that person will have a critical influence on or substantive control over that covered transaction. Such persons are project directors, principal investigators, and providers of federally-required audit services.

### **Participants**

Any person who submits a proposal for, enters into, or reasonably may be expected to enter into a covered transaction. This term also includes any person who acts on behalf of or is authorized to commit a participant in a covered transaction as an agent or representative of another participant.

### **Person**

Any individual, corporation, partnership, association, unit of government or legal entity, however organized, except foreign governments of foreign governmental entities, public international organizations, foreign government owned or controlled entities.

### **Primary Covered Transaction**



Any non-procurement transaction between an agency and a person, regardless of type, including grants, cooperative agreements, scholarships, fellowships, contracts of assistance, loans, loan guarantees, subsidies, insurance, payments for specified use, donation, agreements, and any other non-procurement transactions between a federal agency and a person.

**Principal**

Officer, director, owner, partner, key employee, or other person within a participant with primary management or supervisory responsibilities; or a person who has critical influence on or substantive control over a covered transaction, whether or not employed by the participant.

**Suspension**

An action taken by a suspending official in accordance with these regulations that immediately excludes a person from participating in covered transactions for a temporary period, pending completion of an investigation and such legal, debarment, or Program Fraud Civil Remedies Act proceedings as may ensue.

**Voluntarily Excluded**

The status of non-participation or limited participation in covered transaction assumed by a person pursuant to the terms of a settlement.

## **Children's Internet Protection Act Certification (CIPA)**

- [Children's Internet Protection Act \(CIPA\) 47 CFR 54.520](http://www.gpo.gov/fdsys/granule/CFR-2012-title47-vol3/CFR-2012-title47-vol3-sec54-520)  
<http://www.gpo.gov/fdsys/granule/CFR-2012-title47-vol3/CFR-2012-title47-vol3-sec54-520>
- [Internet Safety 20 USC §9134 \(f\)\(1\)](http://uscode.house.gov/view.xhtml?req=granuleid:USC-prelim-title20-section9134&num=0&edition=prelim)  
<http://uscode.house.gov/view.xhtml?req=granuleid:USC-prelim-title20-section9134&num=0&edition=prelim>
- [Internet and online access policy required UCA 9-7-215](https://le.utah.gov/xcode/Title9/Chapter7/9-7-S215.html)  
<https://le.utah.gov/xcode/Title9/Chapter7/9-7-S215.html>

## **LSTA Award Decision Appeal Process**

Applicant Libraries whose LSTA grant applications are denied funding may appeal to the State Library Board for reconsideration.

Either the Project Director of the grant or the Library Director of the applicant library should submit the reasons for appealing the funding denial. The appeal should be written to the Utah State Library Board (in care of the State Librarian) and should include a request for a re-evaluation of the application.

Letters should be mailed to:

State Librarian  
Utah State Library Division  
250 N 1950 W, Suite A  
Salt Lake City, UT 84116

The State Librarian must receive the appeal letter within two weeks from the date that the applicant was notified that their grant was denied.

The Board will consider requests for appeal at their next scheduled meeting.