

**FY 2014-2015 LSTA GRANTS APPLICATION
COLORADO STATE LIBRARY
LIBRARY SERVICES AND TECHNOLOGY ACT
(LSTA)**

May 2, 2014



FY 2014-2015 LSTA Grants are provided by the Colorado State Library to assist libraries and library-related agencies develop or enhance programs and projects that enable Coloradans to receive improved library services.

**Due Date: Friday, August 1, 2014
5:00p.m**

Colorado State Library
201 E. Colfax Ave.
Denver, Colorado 80203-1799
Phone 303.866.6900
Fax 303.866.6940
<http://coloradostatelibrary.org/LSTA>



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COLORADO DEPARTMENT of EDUCATION

GENERAL REQUIREMENTS

Applications for this 2014 – 2015 LSTA grant opportunity must:

1. Meet the following eligibility guidelines:

Grant funds are available to Colorado libraries, library-related agencies or organizations. This includes school (public, charter, non-profit private); public, academic, and special libraries; BOCES; library consortium; and library professional organizations. Applicants must have sufficient staffing ability and fiscal capability to successfully implement, complete, and evaluate results at the conclusion of the project.

Please fill out and submit the LSTA Eligibility Criteria Form located in Appendix B.

2. For the purpose of this grant, projects must meet the guidelines listed on page three of this document which are derived from the Colorado Five-year LSTA Plan (2013-2017)¹; and
3. Be for programs or projects that begin on October 1, 2014 and are completed by September 30, 2015.

The Colorado State Library will distribute approximately \$300,000 during this FY2014-15 funding period on a competitive basis.²

1. Projects that request a significant portion of the available funds may be asked to reduce the size of the project prior to approval.
2. Projects that have a local impact, involving a library plus one additional organization, may request a maximum of \$20,000. Based on available funds local projects will be funded according to need.
3. Projects that have a statewide impact, involving more than two library entities, may request additional funding.

Projects with statewide impact will be considered over those with a local impact. A project is considered to have STATEWIDE IMPACT when it provides new or improves existing services to residents over a large geographic area of the state, or in several geographic areas across the state.

4. Successful proposals may be partially or fully funded. All requests may not be funded.
5. Awarded funds must be spent by September 30, 2015. It is expected that funded projects will utilize all awarded funding. Any grant funds unexpended at the end of the Grant must be promptly returned to the Department of Education.
6. Applicants may not use the grant funds for any administrative or indirect costs or to reimburse any expenses you chose to incur prior to the start date.

¹ Text for the Colorado Five-year LSTA Plan (2013-2017) can be found at: <http://coloradostatelibrary.org/LSTA>

² This means a team of readers will review and prioritize the quality and scope of the projects to determine if funding is warranted. Each eligible proposal received competes against all others in the prioritization process.

PROJECT GUIDELINES

The “Colorado LSTA Five-year Plan (2013-2017)³” identifies four goals within the broader federal purpose, and supports the Colorado Department of Education’s (CDE) Strategic Goals:

1. Start strong: Every student starts strong with a solid foundation in grades preschool – 3;
2. Read by third grade: Every student reads by the end of third grade;
3. Meet or exceed standards: Every student meets or exceeds standards;
4. Graduate ready: Every student graduates ready for college and careers.

Projects must meet the following requirements

Goal

All Colorado residents will have access to services from libraries that support educational achievement, lifelong learning, economic development, and digital literacy.

LSTA Purpose

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 individual’s needs for education, lifelong learning, workforce development, and digital literacy skills.

Develop public and private partnerships with other agencies and community-based organizations.

Potential projects must include the following:

- Partnership with an outside entity (local government, local business, non-profit organization etc.). A detailed partnership agreement must be included.
- Must address a targeted group of patrons (seniors, teens, early learning, home-bound, ESL, unemployed, etc.) A demonstrated need must be included in the project narrative.

Potential projects may include but are not limited to:

- Targeted literacy collections and programs to meet specific population needs.
- Implementation of library creation and learning centers for teens.
- Design innovative educational programs for emerging on-line communities of learners.
- Adaptive services and technology.
- Citizenship prep classes in the library.
- Improving library service to Spanish speaking populations.

APPLICATION SCORING

Reading teams will be using the rubric found in Appendix H to determine proposal funding.

³ Text for the Colorado Five-year LSTA Plan (2013-2017) can be found at: <http://coloradostatelibrary.org/LSTA>

APPLICATION INSTRUCTIONS

Assemble application for submission in the following order:

A. Cover page – Form provided (APPENDIX A)

- a) Provide name and contact information for the project director who will oversee the project and assure the project will be implemented according to the elements described in the narrative.
- b) Identify the fiscal agent and agency that will be receiving and holding the grant funds. This is the agency that will request funding from the Colorado Department of Education upon grant approval and then pay the institution's project expenses.
- c) Include a 100 word (or less) project abstract. This is a short summary of your proposed project. This will be the first thing that scorers will read and, as such, decide whether to continue reading!
- d) Provide project director's signature. (Omitting required signed pages will disqualify the project from consideration.)

B. LSTA Eligibility Criteria Form – Form provided (APPENDIX B)

- a) Fill out the appropriate areas that apply to the applicant library and proposal.

C. Library Automation Proposal Checklist – Form provided (APPENDIX C)

- a) Fill out the appropriate information if your library automation system proposal involves resource-sharing through union cataloging, Z39.50 software, or related connectivity activities.

D. Project Narrative – Length: 4 to 8 double-spaced pages (10 pt Arial font, 1" page margins)

a) Summary of the Project

- a. Briefly summarize the reason for submitting the proposed project.
The summary should succinctly address:
 - 1) why there is a need for the project including references where applicable;
 - 2) what the project will achieve and;
 - 3) how it will benefit the targeted project audience.

b) Goal(s), Objectives and Activities of the Project

- a. In this section list any goals, objectives and activities associated with the project.
- b. Goals must align with this year's LSTA project guidelines. "All Colorado residents will have access to services from libraries that support educational achievement, lifelong learning, economic development, and digital literacy."
- c. Goals must be written as "The goal of this project is to....." Including the specific population that the project is designed to reach and the specific problem or opportunity the project will attempt to address.
- d. Each Objective must follow the SMART* format. *Specific, Measurable, Attainable, Relevant or Realistic, and Time-phased. Example: By the end of the early literacy training workshop 60% of the attendees will be able to describe and demonstrate 4 new skills they have learned and will use in conducting early literacy workshops for parents.
- e. Activities are the steps needed to achieve each objective.

c) Outcomes

- a. Clearly state and address the project outcomes. Outcomes are the impact and benefits the project will have on - or provide to - the library community, people who use libraries, or both.
- b. For example: How will my project make a difference? How will the lives of my target audience be better as a result of my project?
- c. For a free online course on Outcome Based Planning and Evaluation go to Shaping Outcomes at <http://www.shapingoutcomes.org/course/index.htm>

d) Staff

- a. List all staff involved with the project. Briefly describe the expertise of those involved and their role in the project.

e) Timeline – Refer to APPENDIX D

- a. Provide an anticipated timeline for your project. Be sure to include the required reporting and training dates found in the 2014-2015 LSTA Grant Timeline in APPENDIX D. Timeline must include activity, responsible party, and time frame.

f) Evaluation

- a. Clearly define how the impact or benefits will be measured and evaluated in determining project success.

g) Partnership- Form provided (APPENDIX E)

- a. Complete one Partnership statement per participant.
- b. Requests for the funding of projects involving collaboration between two or more libraries or library-related agencies or organizations will be acceptable.
- c. Developing private and public partnerships with other agencies and community organizations will be acceptable.
- d. Clearly define relationship with partner and the key roles and responsibilities each participant will have in the project.
- e. List partners financial responsibility if applicable.

E. Budget – Form provided (APPENDIX F)

- a) Complete the appropriate columns showing the amount of the project proposal. Refer to the resources section of the LSTA Web site at <http://coloradostatelibrary.org/LSTA> for allowable LSTA expenditures.
- b) List in-kind and cash amounts that will be used for the project.

F. Budget Narrative

- a) Describe in detail how the requested funds will be used. Refer to the resources section of the LSTA Web site at <http://coloradostatelibrary.org/LSTA> for specific instructions.
- b) Describe who will be contributing matching funds. Include letters of financial commitment if necessary.
- c) The budget narrative must address how the project will be sustained over time and how the project will be funded after the end of the grant.

G. Federal Assurance Form – Form provided (APPENDIX G)

- a) The Federal Assurance Form must be signed and all three pages attached to the end of the completed application to be considered. (Omitting required signed pages will disqualify the project from consideration. This is a federal requirement)

APPLICATION SUBMISSION REVIEW

Before submitting your application, you may use this as a checklist to verify that you are submitting a complete document. Arrange sections in the following order:

	Checklist	✓
Section A	Cover Page –* Remember to include Project Director’s Signature (Appendix A)	
Section B	LSTA Eligibility Criteria Form (Appendix B)	
Section C	Library Automation Checklist (if applicable) (Appendix C)	
Section D	Project Narrative (do not use outline format)	
	Summary of the project request	
	Goal, objectives, and activities of the project	
	Outcomes	
	Staff	
	Timeline (Appendix D)	
	Evaluation	
	Partnership (Appendix E)	
Section E	Budget Form (Appendix F)	
Section F	Budget Narrative	
Section G	Federal Assurance Form - *Remember to include signature (Appendix G)	
	Send in one stapled copy with an * <u>original signature</u> on the cover page and federal assurance form plus **11 (<u>eleven</u>) stapled copies containing the cover, eligibility criteria form, library automation checklist if applicable, narrative, timeline, partnership statements, budget form and budget narrative (omitting the signed federal assurance form).	
	Application must be received by Friday August 1, 2014 5:00 p.m. to be considered for funding	

* Omitting required signed pages will disqualify the project from consideration.

**Not submitting the required number of copies (11), plus original, or late arrivals will disqualify the application.

Mail, Fed-Ex, Courier, or Hand - Deliver LSTA Grant Applications

No Mail or Fed-Ex deliveries on the weekends

All Mail goes to a central processing unit before delivery to State Library

Allow at least 3 business days for processing

**Send Original and 11 Copies to: Colorado Department of Education
Colorado State Library
Attn: LSTA Project Proposals
201 East Colfax Avenue, Room 309
Denver, Colorado 80203-1799**

APPENDIX A

COVER PAGE

Application for FY 2014- 2015 LSTA Grants

1. Project Title: _____

2. Applicant type: College/University Public School Other _____

3. Participating library, libraries, library-related agencies, or organizations: _____

4. Project Director
(responsible party for grant implementation)

5. Fiscal Agent
(who & where funds will be received)

Name _____

Name _____

Organization _____

Organization _____

Mailing address _____

Mailing address _____

Telephone _____

Telephone _____

Fax _____

Fax _____

Email _____

Email _____

DUNS Number** _____

6. Provide a 100 word or less project abstract.

7. Congressional District(s) served by this project (*Check any or all served*): To locate your district:
<http://www.govtrack.us/congress/findyourreps.xpd?state=CO>

1 2 3 4 5 6 7 all

8. Addresses the following goal from the *Colorado LSTA Five-year Plan (2013-2017)*
(*Check box indicating compliance*):

— All Colorado residents will have access to services from libraries that support educational achievement, lifelong learning, economic development, and digital literacy

**All applicants are required to include the organization's DUNS number. For instructions on how to locate your DUNS number or to request a number go the resources section at <http://coloradostatelibrary.org/LSTA>

9. **Intents (intended outcomes):**
Select all that apply. Subject list included under #10.

Lifelong Learning

- Improve users' formal education

Subjects: _____

- Improve users' general knowledge and skills

Subjects: _____

Information Access

- Improve users' ability to discover information

Subjects: _____

- Improve users' ability to obtain information resources

Subjects: _____

Institutional Capacity

- Enhance library's workforce

Subjects: _____

- Improve library's physical and technology infrastructure

Subjects: _____

- Improve library's operations

Subjects: _____

Economic and Employment Development

- Improve users' ability to use resources and apply information for employment support

Subjects: _____

- Improve users' ability to use and apply business resources

Subjects: _____

Human Services

- Improve users' ability to apply information that furthers their personal, family or household finances

Subjects: _____

- Improve users' ability to apply information that further their personal or family health and wellness

Subjects: _____

- Improve users' ability to apply information that further their parenting and family skills

Subjects: _____

Civic Engagement

- Improve users' ability to converse in community conversations around topics of concern

Subjects: _____

10. **Subjects:**
Select up to two subjects per intent and insert above

Arts, Culture and Humanities

Business and Finance

- Employment
- Personal Finance
- Small Business

Civic Affairs

- Government
- Community Concerns

Education

- After-school activities
- Curriculum support

Environment

Health and Wellness

- Personal/Family health and wellness
- Parenting and Family skills

History

Languages

Literacy

- Adult Literacy
- Early Literacy
- Reading Program
- Summer Reading Program

Digital Literacy

Science, Technology, Engineering, and Math (STEM)

Library Infrastructure and Capacity

- Broadband adoption
- Buildings and Facilities
- Certification
- Collection Development and Management
- Disaster Preparedness
- Programming and Event Planning
- Research and Statistics
- Outreach and Partnerships
- Systems and Technologies

Other Subjects: Please insert additional subject(s) _____

10. Colorado Library Consortium (CLiC) member: Yes No
Colorado Libraries Collaborate! (CLC) member: Yes No

11. Budget Totals

LSTA funds requested \$ _____

Local Cash \$ _____

In-Kind \$ _____

Project TOTAL \$ _____

12. Project Director _____
(Signature)

13. Title _____

14. Date _____

APPENDIX B

LSTA ELIGIBILITY CRITERIA FORM

- Check the appropriate areas that apply to your agency and/or proposal.
- *If your project involves using LSTA funding for Internet connectivity, the *Internet Connectivity* section must be checked.*
- *If your project involves library automation, the *Library Automation proposals* section must be checked.*

SCHOOL LIBRARIES ONLY

- Y N Our library meets the definition of a school library: a dedicated facility employing paid staff in the school building (or a nearby district-operated facility accessible by students and faculty) that provides access during school hours to a collection of print, non-print, electronic, and internet-based materials, with instruction in a collaborative environment that aligns with classroom standards to enhance student research and literacy skills.
- Y N The project narrative clearly outlines how this project will assist our students in achieving "Colorado's K-12 Academic Standards." For information go to:
<http://www.cde.state.co.us/standardsandinstruction/coloradostandards>
- Y N Our library participates in the Colorado Libraries Collaborate (CLC) program.
<http://coloradostatelibrary/CLC>
- Y N Funds for this project will be used to strengthen the school library, not classroom resources.
- T F Our facility does not charge patrons for access to the Internet.
- T F Our facility does not charge patrons for interlibrary loan except for allowable pass through charges.

PUBLIC LIBRARIES ONLY

- Y N Our library meets all of the 14 criteria in the "Definition of a Public Library in Colorado," provided by the "Colorado Public Library Standards" **OR**
- Y N The project narrative clearly outlines how this project will help our library achieve one or more of the criteria contained in the "Definition of a Public Library in Colorado." For information go to:
<http://coloradostatelibrary.org/DefinitionPublicLibraryColorado>
- T F Our facility does not charge patrons for access to the Internet.
- T F Our facility does not charge patrons for interlibrary loan except for allowable pass through charges.

ACADEMIC LIBRARIES ONLY

- Y N Our library participates in the Colorado Libraries Collaborate (CLC) program.
<http://coloradostatelibrary/CLC>
- T F Our facility does not charge patrons for access to the Internet.
- T F Our facility does not charge patrons for interlibrary loan except for allowable pass through charges.

INSTITUTIONAL LIBRARIES ONLY

- Y N Our library has a qualified, paid staff member to manage the library program.
- Y N Our library provides services to the resident population at least 20 hours/week.
- Y N Our library services are available to all institution residents.
- Y N The institution provides an adequate and secure physical facility to house the library.
- Y N Our library participates in the Colorado Libraries Collaborate (CLC) program.
<http://coloradostatelibrary/CLC>
- T F If Internet access is provided; library does not charge patrons for access to the Internet.
- T F Our facility does not charge for interlibrary loan except for allowable pass through charges.

BOCES ONLY

- Y N Project funds will be used to strengthen the school libraries in the BOCES service area.
- T F Our facility does not charge patrons for access to the Internet.
- T F Our facility does not charge patrons for interlibrary loan except for allowable pass through charges.

SPECIAL LIBRARIES ONLY

- Y N Our library is contained in one easily accessible location.
- Y N Our library is open for service to the public at least 20 hours per week.
- Y N Our library participates in the Colorado Libraries Collaborate program.
<http://coloradostatelibrary/CLC>
- Y N Our organization is a not-for-profit.
- Y N Our library is staffed by a librarian at least 20 hours per week.
- T F Our facility does not charge patrons for access to the Internet.
- T F Our facility does not charge patrons for interlibrary loan except for allowable pass through charges.

IN ADDITION TO THE ABOVE, CHECK THE FOLLOWING SECTION(S) IF THEY APPLY TO THE PROJECT PROPOSAL BEING SUBMITTED.

LIBRARY AUTOMATION PROPOSALS

- Y N Any cataloging records created for this project will use only Machine Readable Cataloguing (MARC) format.
- Y N Materials cataloged through this project will be available to patrons via interlibrary loan free of charge.
- Y N The project narrative clearly outlines how these records will be accessible to other Colorado libraries through Colorado Virtual Library (CVL) via SWIFT. This description includes initial and ongoing costs for Z39.50 access to the library catalog or contributions of records to a union catalog that supports Z39.50 access. For information on SWIFT contact Lori Smith lsmith@coloradovirtuallibrary.org
- Y N Our library will continue cataloging new acquisitions for Z39.50 access through Colorado Virtual Library (CVL) via SWIFT after the completion of this project. For information on SWIFT contact Lori Smith lsmith@coloradovirtuallibrary.org
- Y N The project narrative clearly describes the proposed process for the project with a detailed list of activities that will occur.
- Y N The State Library Technology Consultant or a consultant from Colorado Library Consortium (CLiC) or other library facility has given us assistance in planning for this project and a letter is attached verifying this assistance.
- Y N We have read checked and included page 12, the Appendix C checklist for automation projects involving resource sharing and statewide connectivity.

INTERNET CONNECTIVITY PROJECTS

- Y N Our project involves using LSTA funds to provide internet connections that will be accessible by minors (17 and younger). If YES, GO ON:
- Y N Our facility is a public library or school library subject to Federal CIPA (Children's Internet Protection Act) requirements for controlling internet access to minors through Technology Protection Measures. IF YES, GO ON:
- Y N We now comply with CIPA requirements, **OR**
- Y N We are in the process of coming into compliance and we will use funds other than these provided through LSTA to come into compliance with CIPA requirements.

APPENDIX C

LIBRARY AUTOMATION PROPOSAL CHECKLIST

Complete this checklist and include with the LSTA proposal if the library automation system proposal involves resource sharing through union cataloging, Z39.50 software, or related connectivity activities.

Non-automation projects and those not doing resource sharing may omit this page.

I. Support and Maintenance

- Y N Did you get a quote from a vendor that includes ongoing maintenance and support fees for all the modules you are purchasing?
- Y N Have you allocated enough in-kind resources to support the technology required in your automation project?

II. Union Catalog Proposals:

- Y N Does the union catalog software allow libraries to prioritize which record serves as the master record to which all other libraries holdings are attached (language)?

III. Does your LSTA proposal budget include these items?

- Y N Software costs for all the modules you are purchasing
- Y N Yearly updates
- Y N Cost of installation and vendor's travel expenses
- Y N Training on-site/off site
- Y N Data conversion (if needed)
- Y N Database clean up

IV. Considerations for inclusion in the Vendor Contract for automation services:

- The system you are purchasing offers a Z39.50 server.
- Can your Z39.50 server support International Standard Book Number (ISBN) and Library of Congress Cataloging Number (LCCN) searchable fields?
- A description of upgrades needed to existing hardware, connectivity, or electrical capacity to accommodate your library automation system, and how cost support for the upgrades is provided.
- Do you have the technical expertise on staff to maintain the automation system beyond the term of the grant?
 - Common tasks may include: running back ups, installing software updates, setting up and maintaining servers, cataloging, training staff, and maintaining the catalog.
- Is your library able to control firewall and other access considerations, or is the responsibility held by another agency such as the City or School District Instructional Technology Department?

APPENDIX D TIMELINE

May 2, 2014	<ul style="list-style-type: none"> ▪ FY14-15 LSTA Grant Application Posted ▪ Available on the Colorado State Library Web site: http://coloradostatelibrary.org/LSTA
August 1, 2014 5:00pm	<ul style="list-style-type: none"> ▪ LSTA Grant Applications Due ▪ <u>Must</u> be received by the Colorado State Library (CSL) by 5:00 pm. ▪ Applications postmarked, but not received by this date will be returned.
September 2014	<ul style="list-style-type: none"> ▪ Funded Project Proposals Announced ▪ Posted on the Colorado State Library Web site: http://coloradostatelibrary.org/LSTA
September 18, 2014 11:30am – 12:30pm	<ul style="list-style-type: none"> ▪ Project Implementation Webinar ▪ Project Directors must participate in this webinar <u>or</u> in the webinar scheduled for September 23rd.
September 23, 2014 9:00am – 10:00am	<ul style="list-style-type: none"> ▪ Project Implementation Webinar ▪ Project Directors must participate in this webinar <u>or</u> in the webinar scheduled for September 18th.
October 1, 2014	<ul style="list-style-type: none"> ▪ Project Funding Begins
March 2, 2015	<ul style="list-style-type: none"> ▪ Mid-year Progress Report Due ▪ Template is provided in Appendix I ▪ Project Directors will be required to submit a narrative on progress made to date.
June 15, 2015	<ul style="list-style-type: none"> ▪ Final Day for Funding Requests ▪ Project fund requests <u>MAY NOT</u> be made after this date.
September 30, 2015	<ul style="list-style-type: none"> ▪ Last Day to Spend Project Funds ▪ Any funds not expended by this date may be forfeited.
October 1, 2015	<ul style="list-style-type: none"> ▪ Final Project Evaluation Due ▪ Project Directors will be required to submit a narrative on project results. Template is provided in Appendix J.

APPENDIX E

PARTNERSHIP STATEMENT

[Name of the Grant Project]

1. Applicant Organization:

2. Partner Organization Name and Location:

3. List the Partner's key roles and responsibilities in the project:

4. List partner's financial responsibility if applicable:

- Cash-match monies (A commitment of actual cash in the form of a contribution toward the project's expenses)

statue

- In-kind contributions (Donated personnel, training space, transportation, supplies, materials, printing, and other needed items)

We, the undersigned Partner organization, agree to the following:

- We will carry out the activities described above and in the application narrative
- We will use any federal funds we receive from Applicant organization in accordance with applicable Federal laws and regulations as set forth in the program guidelines and the terms and conditions of the grant award.
- We assure that our facilities and programs comply with the applicable Federal requirements and laws as set forth in the program guidelines.

Signature of Partner Authorizing Representative/Official

Date

Name and Title of Partner and Partner Authorizing Representative/Official (Type or Print)

APPENDIX F BUDGET FORM

Excel Spreadsheet available at: <http://coloradostatelibrary.org/LSTA>

CATEGORY	LSTA Funds Requested October 1, 2014*	Local match		Project Total
		Cash 15%	In-kind 10% +	
Personnel				
Salaries				
Benefits				
Consultant Fees**				
Services***				
Operating				
Advertising				
Telephone/Data				
Supplies				
Photocopying & Printing				
Postage & Shipping				
Travel				
Food	XXXXXX			
Books				
Project Evaluation				
Technology				
Computer equipment				
Computer Accessories				
Other equipment				
Software				
Capital expenditures				
Furniture				
Equipment with a cost greater than \$5,000				
TOTALS	\$	\$	\$	\$

* Refer to the resources section of the LSTA Web site at <http://coloradostatelibrary.org/LSTA> for allowable LSTA expenditures.

** All expenses related to acquiring the services of a consultant for a specific activity within the project.

***The cost of project activities to be undertaken by a third-party contractor or vendor, including a formal partner.

APPENDIX G

Federal Assurance Forms¹ **Sub-grantee and Subcontractors**

Certification responsibilities extend beyond the grantee to subgrantees and the subcontractors under certain circumstances:

Non-discrimination: See certification.

Debarment and Suspension: The applicant agrees by submitting a proposal that should the proposal be funded by the 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.) The applicant further agrees by submitting this proposal to include without modification the following clause in all lower tier covered transactions (as defined by regulation) and in all solicitations for lower tiered covered transactions: "1) The prospective lower tier participant certified by submission of this 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 as prospective participant shall attach an explanation to this proposal." (See the full "Debarment and Suspension" section for more information.)

Lobbying Activities: Those who receive a subgrant, contract, or subcontract exceeding \$100,000 at any tier under an Institute grant are required to file a certification and, when necessary, a disclosure form to the next tier above. (See the full "Lobbying Activities" section for more information.)

Full Text of the Certifications - Please read before signing

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 nondiscriminatory statutes and their implementing regulations: a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S. C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; c) title IX of the Education Amendments of 1972, as amended (20U.S.C. 1681 et seq.) which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and d) the Age discrimination Act of 1975, as amended (42 U.S.C. 6101 et seq.) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonable take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

Certification Regarding Debarment and Suspension

The prospective participant (applicant) certifies to the best of its knowledge and belief that it and its principals; a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen

¹These pages are required by IMLS (Institute of Museum and Library Services) the federal agency that oversees LSTA funding.

property: c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and d) have not within a three - year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

Debarment and Suspension: <https://www.sam.gov/portal/public/SAM/#1>

By signing and submitting an application, the applicant certifies that it is not debarred, suspended, declared ineligible, or voluntarily excluded from participation in a federally sponsored transaction.

In addition, the applicant agrees by submitting a proposal that, should the proposal be funded by the IMLS, 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, ineligible or voluntarily excluded from participation in 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 certifies, by submission of this 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 it 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.

Definitions of terms used in the debarment and suspension certification:

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."

Ineligible: Excluded from participation in federal nonprocurement programs pursuant to a determination of ineligibility under statutory, executive order or regulator, authority, other than Executive order 12549.

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 nonprocurement 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 nonprocurement 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.

Certification Regarding Lobbying Activities (Applies to Applicants Requesting Federal Funds in Excess of \$ 100,000).

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

1. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person 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 the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
2. 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) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with this federal contract, grant loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, " Disclosure of Lobbying Activities, " in accordance with its instructions.
3. The undersigned 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.

Signature of Authorized Certifying Official * _

Date

Title of Authorized Certifying Official

Applicant Organization

* Please note: This signature will be provided by the School Superintendent, Library Board President, Academic Dean or Designee.

APPENDIX H

FY 2014-2015 LSTA Grant Application Rubrics

Section A: Cover Page	Required. No Score. If missing or incomplete, application may not be considered.
Section B: LSTA Eligibility Criteria Form	Required. No Score. If missing or incomplete, application may not be considered.
Section C: Library Automation Checklist	Not Required for all projects. No Score. If project involves a library automation system this form must be submitted.

Section D: Project Narrative			Total in 10 Areas: 86 points
Project Format			(5 points)
Level 1 (0-1 pts)	Level 2 (2-3 pts)	Level 3 (4-5 pts)	
<ul style="list-style-type: none"> ⇒ Document is single spaced ⇒ Narrative is substantially outside the 4-8 page requirement ⇒ No consistent size and type of font used ⇒ Margins are inconsistent throughout document ⇒ No citations for factual material presented ⇒ Many spelling and/or grammatical errors ⇒ Outline format used instead of narrative ⇒ Page orientation is landscape. 	<ul style="list-style-type: none"> ⇒ Double spacing is not consistent through-out the application ⇒ Project narrative slightly falls outside the 4-8 page requirement ⇒ Font other than Arial 10pt used in application ⇒ Citations included but document still has unreferenced material ⇒ Some spelling and/or grammatical errors ⇒ Margins are outside the required 1 inch 	<ul style="list-style-type: none"> ⇒ Document is double spaced ⇒ Project narrative is 4-8 pages in length ⇒ Use of Arial 10 pt font ⇒ Margins are 1 inch ⇒ All stated facts are cited ⇒ Little to no spelling or grammatical errors ⇒ Application is in a narrative format ⇒ Page orientation is portrait 	
Summary of the Project Request			(12 points)
Level 1 (0-3 pts)	Level 2 (4-7 pts)	Level 3 (8-12 pts)	
<ul style="list-style-type: none"> ⇒ No evidence of need indicated or inadequate ⇒ Does not describe needs assessment process &/or how need was determined ⇒ Does not address how needs will be met ⇒ Shows little or no connection between needs and proposed project ⇒ No discussion on what the benefit will be to the targeted audience 	<ul style="list-style-type: none"> ⇒ Provides evidence of need ⇒ Partially describes needs assessment process and how stated need was determined ⇒ Provides some discussion on how needs will be met ⇒ Shows some connection between need and the goals of the proposed project ⇒ Some consideration given to actual benefits the targeted audience will receive 	<ul style="list-style-type: none"> ⇒ Provides clear and convincing evidence of need ⇒ Clearly describes needs assessment process including how stated need was determined ⇒ Well thought out plan on how needs will be met ⇒ Strongly connects need and goals of proposed project ⇒ Genuine concern given to benefits the targeted audience will receive 	

Project Goal(s)			(10 points)		
Level 1	(0-3 pts)	Level 2	(4-7 pts)	Level 3	(8-10 pts)
⇒ Is not written as “The goal of this project is to.....”		⇒ Is not written as “The goal of this project is to.....”		⇒ Written as “The goal of this project is to.....”	
⇒ No specific population is included		⇒ Somewhat specifies a population the project or service is designed to reach		⇒ Specifies a population the project or service is designed to reach	
⇒ No specific problem or opportunity is included		⇒ Somewhat identifies a problem or opportunity the project will attempt to address		⇒ Specifies a problem or opportunity the project will attempt to address	
⇒ Do not relate to the needs statement		⇒ Show some relationship to the needs statement		⇒ Directly relates to the needs statement	
⇒ Does not address LSTA project guidelines		⇒ Mentions the LSTA project guidelines but no clear tie in to project		⇒ Clearly addresses the LSTA project guidelines	
Example: The goal of this project is to help parents and other caregivers develop early literacy skills in children from birth to age five.					
Project Objective(s)			(10 points)		
Level 1	(0-3 pts)	Level 2	(4-7 pts)	Level 3	(8-10 pts)
⇒ Show little or no relationship to goal(s)		⇒ Demonstrate some relationship with goal(s)		⇒ Relate directly to goal(s) and if achieved will make progress toward stated goal(s)	
⇒ Minimally uses SMART* format		⇒ Uses some SMART* format		⇒ Demonstrate essential SMART* element format	
*Specific, Measurable, Attainable, Relevant or Realistic, and Time- phased					
Example: By the end of the early literacy training workshop 60% of the attendees will be able to describe and demonstrate 4 new skills they have learned and will use in conducting early literacy workshops for parents.					
Project Activities			(10 points)		
Level 1	(0-3 pts)	Level 2	(4-7 pts)	Level 3	(8-10 pts)
⇒ Do not include methods and/or strategies for meeting project goals		⇒ Describe methods and strategies for meeting project goals		⇒ Clearly describe appropriate methods or strategies for meeting project goals	
⇒ Do not show linkage to measurable objectives		⇒ Show linkages that are inconsistent and/or lack coherence		⇒ Show consistent and coherent linkage to measurable objectives	
Project Outcomes			(18 points)		
Level 1	(0-5 pts)	Level 2	(6-12 pts)	Level 3	(13-18 pts)
⇒ Does not include project outcomes		⇒ Briefly mentions project outcomes		⇒ Clearly describe appropriate project outcomes	
⇒ Does not address any of the impacts the project may have on or provide to the target audience		⇒ Includes impact of the project but doesn't show an association with the target audience		⇒ Show consistent and coherent linkage to target audience	
⇒ Does not address any of the benefits the project will have on or provide to the target audience		⇒ Includes the benefits of the project but doesn't show how they address the target audience's needs		⇒ Includes both impact and benefits the project will have on or provide to the target audience	

Staff (4 points)		
Level 1 (0-1 pts)	Level 2 (2 pts)	Level 3 (3-4 pts)
<ul style="list-style-type: none"> ⇒ Does not address project staff qualifications ⇒ Does not address staff roles 	<ul style="list-style-type: none"> ⇒ Addresses staff qualifications ⇒ Briefly describes staff roles in the project 	<ul style="list-style-type: none"> ⇒ Describes staff qualifications that will contribute to the project's success ⇒ Explains role of staff clearly
Timeline (4 points)		
Level 1 (0-1 pts)	Level 2 (2 pts)	Level 3 (3-4 pts)
<ul style="list-style-type: none"> ⇒ Timeline is missing or incomplete 	<ul style="list-style-type: none"> ⇒ Timeline exists, but is not clearly relevant to achieving the established objectives 	<ul style="list-style-type: none"> ⇒ Timeline is clearly relevant to achieving the established objectives
Project Evaluation (8 points)		
Level 1 (0-2 pts)	Level 2 (3-5 pts)	Level 3 (6-8 pts)
<ul style="list-style-type: none"> ⇒ Does not relate clearly to goals, objectives, and outcomes ⇒ Will not determine success of the project ⇒ No funding for evaluation included in the budget 	<ul style="list-style-type: none"> ⇒ Provides partial linkage to goals, objectives, and outcomes ⇒ Provides some indication of the success of the project ⇒ Minimal amount included for evaluation 	<ul style="list-style-type: none"> ⇒ Clearly relates to goals, objectives, and outcomes ⇒ Will effectively determine success of the project and its impact ⇒ Includes adequate amount for evaluation in the budget
Partnership (5 points)		
Level 1 (0-1 pts)	Level 2 (2-3 pts)	Level 3 (4-5 pts)
<ul style="list-style-type: none"> ⇒ Applicant did not choose a partnership ⇒ If a partnership was chosen the application does not describe clearly how the partnership will work to achieve the project's goals ⇒ Applicant did not include Partnership Statement for organizations involved in the project. 	<ul style="list-style-type: none"> ⇒ Contains some references to a working partnership, and how the goals/objectives/activities will be accomplished ⇒ The libraries involved in the partnership appear to be eligible. ⇒ Applicant included Partnership Statement for some of the organizations involved in the project. ⇒ Partnership Statements were not complete. 	<ul style="list-style-type: none"> ⇒ Clearly describes a working partnership between two or more different library types ⇒ The partnership is clearly viable, the partners are eligible, and the patron's needs will be better met through the partnership ⇒ Applicant included complete Partnership Statement(s) for all organizations involved

Section E: Budget Form			Total in 3 Areas: 7 points		
LSTA Funds Request			(3 points)		
Level 1	(0 pts)	Level 2	(1-2 pts)	Level 3	(3 pts)
⇒ Items mentioned in the project summary have not been included in the budget ⇒ Costs are not allowable LSTA expenditures.		⇒ Most items mentioned in the project summary are reflected in the budget. ⇒ Most costs are allowable LSTA expenditures.		⇒ Includes all items mentioned in the project summary. ⇒ Costs are allowable LSTA expenditures.	
In-Kind Cash Contributions			(2 points)		
Level 1	(0 pts)	Level 2	(1 pts)	Level 3	(2 pts)
⇒ Offers no in kind contribution		⇒ Offers at least 10 % of LSTA amount requested as in kind contribution		⇒ Offers an in – kind cash match of significantly more than 10% of the LSTA amount requested	
Cash Contributions			(2 points)		
Level 1	(0 pts)	Level 2	(1 pts)	Level 3	(2 pts)
⇒ Offers no local cash for project		⇒ Offers local cash match of at least 15% of LSTA amount requested		⇒ Offers local cash match of significantly more than 15% of LSTA amount requested	
Section F: Budget Narrative			Total in 2 Areas: 7 points		
Budget Narrative			(3 points)		
Level 1	(0 pts)	Level 2	(1-2pts)	Level 3	(3 pts)
⇒ Provides no description, beyond the budget sheet, of how funds will be spent		⇒ Does not clearly specify how the dollars will be used for the project ⇒ Items listed in the budget narrative do not match those in the budget form ⇒ Brief mention of who will be contributing matching funds		⇒ Clearly specifies how the dollars will be used for the project ⇒ Items listed in the budget narrative match those in the budget form ⇒ Describes who will be contributing matching funds	
Leveraging of Funds/Sustainability			(4 points)		
Level 1	(0 pts)	Level 2	(1-2 pts)	Level 3	(3-4 pts)
⇒ Shows no cooperation, collaboration, leveraging with other grants, programs, or agencies ⇒ No sustainability		⇒ Shows some cooperation/ collaboration/leveraging with other grants, programs, or agencies ⇒ Some evidence of sustainability		⇒ Shows outstanding cooperation/ collaboration/leveraging with other grants programs, or agencies ⇒ Clear evidence of sustainability	

Section G: Federal Assurance Form	Required. No Score. If missing or incomplete, application may not be considered.
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