

**LSTA** *Library Services and Technology Act*

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**State Library of North Carolina**

# Library Services and Technology Act

## Five-Year Plan

2008 - 2012

August 2007

State Library of North Carolina  
North Carolina Department of Cultural Resources  
Raleigh, North Carolina



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# **LSTA Five-Year Plan**

## **October 1, 2007 – September 30, 2012**

### **INTRODUCTION**

The Library Services and Technology Act (LSTA) authorizes State Program Grants to State Library Administrative Agencies by which federal funds for libraries are disseminated to the states and territories through the Institute of Museum and Library Services (IMLS), in order to address the following six purposes.

#### **LSTA Purposes**

1. Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;
2. Develop library services that provide all users access to information through local, state, regional, national, and international electronic networks;
3. Provide electronic and other linkages between and among all types of libraries;
4. Develop public and private partnerships with other agencies and community-based organizations;
5. Target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills; and
6. Target library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children from families with incomes below the poverty line.

The Act requires an approved Five-Year Plan that identifies the state's library needs and sets forth activities to be taken toward meeting these needs (20 USC Sec. 9134(a)(1)). This document is North Carolina's third Five-Year Plan, developed in consultation with North Carolina's LSTA Advisory Committee and in response to the evaluation of the previous five-year plan. This plan will cover the period October 1, 2007 – September 30, 2012.

The State Library of North Carolina was founded in 1812 by the Secretary of State to provide information services to state government employees. In 1843, the first State Librarian was appointed. In 1909, the North Carolina Library Commission was established to support local communities in the development of public libraries. In 1956, the State Library and the Library Commission were merged into a single agency, and, in 1973, the State Library became a division of the North Carolina Department of Cultural Resources. Today the State Library provides leadership and support for libraries statewide as well as providing direct library services to its special constituencies. The State Library administers state-funded Aid to Public Libraries to 77 eligible public library systems across the state. Through the LSTA State Program, federal monies fund statewide projects managed at the State Library and local projects

carried out by sub-grantees from almost 2,500 eligible public, academic, special and school libraries in North Carolina.

North Carolina's libraries eligible to participate in LSTA programs include

- 77 multi-county regional, county, and municipal public library systems;
- 58 community college learning resource centers and libraries;
- 36 independent college and university libraries; and
- 17 University of North Carolina system libraries.

In addition, there are 2,338 public schools in North Carolina, most of which have library media centers that are eligible to apply for LSTA grants, and various special libraries associated with non-profit organizations that are also eligible to apply for these grants. Criteria for eligibility are explained in full in the appendix to this plan.

The nine-member LSTA Advisory Committee provides leadership for North Carolina's LSTA State Program and advises the State Librarian on LSTA plans and policies; annual programs and funding priorities; and program evaluation. The Committee's members are leaders in our state's library community and are broadly representative of the various types of libraries noted above and their library users, as well as reflecting the geography and characteristics of North Carolina and its people.

## **MISSION**

The State Library of North Carolina strives to ensure equal access to library resources and services for all North Carolinians by

- Providing direct library services to state government, to those with an interest in research about North Carolina, including genealogy, and to disabled persons through services offered by the Library for the Blind and Physically Handicapped;
- Coordinating efforts among all types of libraries to improve library services and to provide access to both print and electronic information resources to North Carolinians no matter where they live, with an emphasis on using today's digital technologies to promote equity of access; and
- Working in partnership with local communities to develop and extend public library services statewide.

## **NEEDS ASSESSMENT**

The State Library of North Carolina will base the goals and program activities of the Five Year Plan covering the time period October 1, 2007 – September 30, 2012 on the findings and recommendations of the *Program Evaluation of the Library Services and Technology Act Plan for Implementation in North Carolina, 2003-2007*; the North Carolina State Library Commission's document *North Carolina Libraries: Building Communities, A Plan for Cooperation*; the State Library Commission's Youth Services Advisory Committee's *Survey of Youth Services in North Carolina*, conducted in October 2006; and North Carolina demographic data, an essential element of consideration in our rapidly changing state.

*The Program Evaluation of the Library Services and Technology Act Plan for Implementation in North Carolina, 2003-2007* was prepared for the State Library of North Carolina in March 2007 by Jeffrey Pomerantz and Carolyn Hank, University of North Carolina at Chapel Hill's School of Information and Library Science, and Charles R. McClure, Florida State University's College of Information and Information Use Management and Policy Institute. The evaluation and needs assessment were based on responses to two statewide surveys and five Town Hall meetings held in locations across North Carolina. Survey and Town Hall participants represented all types of North Carolina's libraries, including public, school, community college, and both UNC system and independent colleges and universities. Approximately two-thirds of the participants were from libraries that had been recipients of LSTA grants.

The State Library of North Carolina has worked closely with the major stakeholders in librarianship in our state to understand the needs of all of our libraries, through formal and informal meetings as well as regular discussions and interaction. These stakeholders include the LSTA Advisory Committee, the North Carolina State Library Commission and its Youth Services Advisory Committee and Public Library Development Committee, the North Carolina Library Association, the North Carolina Public Library Directors Association, the University of North Carolina system's University Librarians Advisory Council, the North Carolina Community College Learning Resources Association, North Carolina Independent Colleges and Universities, and the North Carolina Department of Public Instruction's Instructional Technology Division.

The demographics of North Carolina have undergone major changes since the last Five-Year Plan was written. In December 2006, the U.S. Census Bureau announced that North Carolina was the tenth most populous state in the nation, surpassing New Jersey, and the seventh fastest growing state. At the same time, the economy of North Carolina has undergone a major transformation with the loss of 250,000 manufacturing jobs in the past 15 years. North Carolina's economy is rapidly evolving from one of manufacturing and farming to a knowledge-based economy – a former textile mill in Kannapolis will become a national biotechnology center; a former furniture manufacturing plant in Lenoir will become a Google server site. In spite of these changes, North Carolina still faces major economic challenges, as this population and economic growth surrounds urban centers and follows interstate highways, while the rural eastern coastal plain and the far western mountains of the state continue to suffer economically. For example, the U.S. Census Bureau report "Income, Poverty, and Health Insurance Coverage: 2005," released in August 2006, indicates that Robeson County, North Carolina, has the third highest poverty rate in the United States and the third lowest median household income among all counties with a population between 65,000 and 250,000. At the same time, the U.S. Census Bureau reports in "The American Community – Hispanics: 2004," issued in February 2007, that 6.4% of North Carolina's population is Hispanic, of whom 58% are foreign born.

These extremes of high tech and low wealth, coupled with a rapidly growing and diverse population, present the library community in our state with enormous challenges that we will strive to address during the next five years.

## **SUMMARY OF GOALS**

The State Library of North Carolina's LSTA Five-Year Plan for 2008 – 2012 consists of three goals. Each of these goals, listed below, is related to one or more of the six LSTA purposes, is based on identified need, and strives toward excellence and equity in North Carolina's libraries.

1. Enrich the lives of North Carolinians through enhanced and targeted programs and services in our libraries that address the needs of specific audiences.
2. Enhance information for lifelong learning for all North Carolinians by expanding the information resources in our state's libraries through strengthening, sharing, digitizing and preserving our valuable and unique collections.
3. Promote equal access to 21<sup>st</sup> century library services for all North Carolinians by providing contemporary and evolving technologies to our state's libraries through programs designed to address infrastructure, resources, and services.

The State Library of North Carolina will meet these goals through a combination of Statewide Leadership Programs and sub-grants to local libraries. Many grant programs that address these goals already exist in the previous Five-Year Plan; others will be added to meet newly identified needs.

In order to ensure the greatest flexibility in our LSTA programs, we have decided that the timeline for all the LSTA programs covered in this plan will be the full five-year period, 2008 – 2012.

## **GOALS OF THE PLAN**

**GOAL 1** - Enrich the lives of North Carolinians through enhanced and targeted programs and services in our libraries that address the needs of specific audiences.

### **Needs Addressed**

While North Carolina is one of the fastest growing states in the nation, this growth brings with it special problems and issues that North Carolina's libraries must address. In the rapidly growing urban areas, the high-tech, globally competitive economy has introduced new employment opportunities for many, but at the same time it has caused the loss of jobs held by many others who do not have the education and skills necessary for the knowledge economy – resulting in an ever-widening income gap. Meanwhile, in rural eastern counties too far from the coast to attract tourists and too far from the urban centers to attract commuters, population is dwindling as jobs from the traditional industries of farming and fishing disappear. On the one hand, North Carolina is the home of nationally recognized universities and a leader in the development of high-tech industries; on the other hand, 22% of North Carolina's adults are functionally illiterate, and 20% of North Carolina's children live in poverty. The majority of North Carolina's Hispanic residents are foreign-born, which means that they are less likely to be well-established in their communities, and are less likely to be fluent in English. North Carolina's Division of Aging and Adult Services reports that currently 12.1% of our state's population is age 65 or older; however, by 2030, this number will more than double to 25% of our population, due to a combination of the aging baby boom generation and the fact that North Carolina ranks third among states attracting retirees 60 or older from other states. All of these segments of our population have special needs that can be addressed, at least in part, by our libraries, in particular when they work in partnership with other community organizations.

### **LSTA Purposes**

1. Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;
4. Develop public and private partnerships with other agencies and community-based organizations;
5. Target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills; and
6. Target library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children from families with incomes below the poverty line.

### **Program Activities**

Support enhanced outreach programs and services by local libraries that target audiences

- having difficulty using a library, such as senior citizens, those with disabilities, and those who are institutionalized;

- in underserved urban and rural communities, including children and families with incomes below the poverty line;
  - of diverse geographic, cultural and socioeconomic backgrounds, such as the rapidly growing Hispanic community in North Carolina; and
  - for whom reading, or reading in English, is difficult.
- Ensure access to 24/7 information services for all North Carolinians via Internet-based interactive reference services.
  - Support local libraries in providing library users with Internet skills and in the use of electronic information resources.
  - Assist local libraries with the development of needs assessments as well as long-range program and/or specific project plans that leverage the commitment of those who govern them to ensure the expansion and development of library services that meet the needs of diverse audiences and the identification of appropriate community partners.
  - Provide training for library staff (at local workshops or state, regional and national conferences) in providing programs and services for targeted audiences, including but not limited to identifying appropriate population segments and community partners, program planning, identifying existing resources, program delivery, promotion to targeted audiences, and program evaluation (outputs and outcomes).

#### **Key Output Targets**

- Number of libraries providing programs for special audiences appropriate to their communities
- Number of libraries participating in planning opportunities for special programs and services

#### **Key Outcome Targets**

By 2012, the number of North Carolina's libraries providing new and innovative targeted programming to meet the needs of targeted audiences will increase by 50%.



**GOAL 2** – Enhance information for lifelong learning for all North Carolinians by expanding the information resources in our state’s libraries through strengthening, sharing, digitizing and preserving our valuable and unique collections.

### **Needs Addressed**

While the development of new information technologies is critical for the advancement of North Carolina’s libraries, it is also essential that our state’s basic library collections are accessible and relevant to library users’ needs. It has been demonstrated that use of the library or the school library media center improves the performance of students; in addition, both the age of collections in many of our state’s school libraries and the need to support evolving curricula as community colleges address new professional fields require ongoing collection development. With many libraries purchasing bundled electronic packages or sharing the commercial resources available to all of North Carolina’s libraries through the statewide NC LIVE program, special collections take on new importance as they are often the only unique resources owned by local libraries. The digitization and preservation of North Carolina’s unique cultural resources will ensure both expanded and long-term accessibility. Finally, despite extensive retrospective conversion projects and the enormously successful program to identify North Carolina’s unique cultural resources through the NC ECHO (Exploring Cultural Heritage Online) project, there remain libraries with collections that are “hidden” due to lack of resources for cataloging, and cultural institutions with valuable collections that are not yet identified. As described in *Access to North Carolina’s Special Collections, Vision, Principles, and Strategic Directions*, we propose “to make our state’s cultural and historical resources accessible for the education and enjoyment of people of all ages in the state, nation, and the world.”

### **LSTA Purposes**

1. Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;
2. Develop library services that provide all users access to information through local, state, regional, national, and international electronic networks;
3. Provide electronic and other linkages between and among all types of libraries;
4. Develop public and private partnerships with other agencies and community-based organizations.

### **Program Activities**

- Continue programs designed to strengthen the collections of school, public, and academic libraries in North Carolina, and to share these resources through coordinated cataloging and statewide interlibrary loan services; investigate ways to better support statewide resource sharing.
- Support the continued development of statewide electronic resources, and explore ways in which North Carolina’s unique non-commercial digital resources can be incorporated into the existing statewide commercial database program.

- Identify and provide access to the “hidden” collections of resources that have intrinsic value but that are not cataloged or otherwise available for use by North Carolinians, and improve access to North Carolina’s unique cultural resources and the digitization of special collections, significant holdings, and artifacts by libraries and other local cultural institutions.
- Enhance access to North Carolina’s state government publications, including those “born digital,” and support the preservation of North Carolina’s valuable library materials for the use of current and future generations.
- Assist local libraries with the development of needs assessments and long-range program plans that leverage the commitment of those who govern them and that will ensure expanded access to library resources that meet the needs of lifelong learning and the identification of appropriate resource partners.
- Assist local libraries with specific project planning for collection and digitization projects to ensure their success through informed decision-making, materials identification, implementation, and evaluation.
- Provide training for library staff (at local workshops or state, regional and national conferences) in digitization and digital preservation so that North Carolina’s wide range of libraries can expand access to their unique information and educational resources and make them accessible to users ranging from children in school and public libraries to scholars in academic libraries.

**Key Output Targets**

- Number of libraries with updated collections
- Number of libraries participating in union catalogs and interlibrary loan
- Number of projects/volumes made accessible through cataloging
- Number of libraries and cultural institutions participating in digitization projects
- Number of items digitized via digitization project grants
- Number of libraries participating in preservation projects

**Key Outcome Targets**

- By 2012, 30% of North Carolina’s libraries will have updated and expanded their collections, and the collections are accessible and available for statewide lending.
- By 2012, policies, standards, and practices that support digital library collections and the management and preservation of digital information produced by state government will be developed and implemented.

**GOAL 3** – Promote equal access to 21<sup>st</sup> century library services for all North Carolinians by providing contemporary and evolving technologies to our state’s libraries through programs designed to address infrastructure, resources, and services.

### **Needs Addressed**

The greatest need that must be met in reaching this goal is ensuring that North Carolina’s libraries have the infrastructure capability at a sustainable acceptable standard to provide the resources and services that comprise modern electronic librarianship. During the past five years, we have made major strides forward in providing basic technology infrastructure, but the need for this program continues. There remain major issues of updating and upgrading basic equipment and improving Internet access infrastructure. For example, even as libraries are carrying out a broad range of information literacy programs for their patrons and students, many do not have the space needed to support training labs and are turning to more use of laptop computers in wireless environments. Furthermore, the rapid development of new technologies requires that our libraries and their staff remain current in their knowledge of and skills in the use of these new technologies so that they can effectively determine those resources and services most appropriate to meet users’ needs, plan for the implementation of new technologies, and instruct library patrons in their use.

### **LSTA Purposes**

1. Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;
2. Develop library services that provide all users access to information through local, state, regional, national, and international electronic networks;
3. Provide electronic and other linkages between and among all types of libraries; and
4. Develop public and private partnerships with other agencies and community-based organizations.

### **Program Activities**

- Ensure that North Carolina’s libraries provide equal access to services through technology by the development of basic infrastructure, improved Internet infrastructure, and wireless systems; support libraries in the evolution of integrated library systems; and assist library staff efforts to understand and acquire new and emerging technologies.
- Assist local libraries in creating or joining consortia for sharing regional library systems.
- Assist local libraries with the development of needs assessments as well as long-range program and/or specific project plans that leverage the commitment of those who govern them and that will expand and develop library technology that meets user needs, identify and implement sustainable systems, and appropriately place technology in new or existing buildings.

- Provide training for library staff (at local workshops or state, regional and national conferences) in the use of new technologies so that they in turn can effectively train their users in the use of newly implemented electronic resources and services.
- Assess the facility needs of public libraries in North Carolina to support the requirements of existing and emerging technologies and services.

**Key Output Targets**

- Number of libraries with upgraded technology and Internet infrastructure, including those accessible to the disabled
- Number of libraries with new or upgraded library systems
- Number of libraries participating in regional networks and consortia
- Number of libraries providing technology continuing education programs
- Number of libraries that establish or upgrade computer and Internet training facilities
- Number of libraries that participate in 24/7 Internet reference services
- Number of libraries that implement new interactive technologies

**Key Outcome Targets**

- By 2012, 80% of North Carolina’s public libraries will provide sustainable acceptable levels of Internet access and automated systems that meet statewide standards, either locally or through interlibrary networks or consortia.
- By 2012, 60% of North Carolina’s libraries will provide enhanced services, including training programs for users in the use of electronic resources, made possible through statewide services as well as local programs employing new interactive technologies.

## **EVALUATION PLAN**

The State Library of North Carolina will use a variety of methodologies in evaluating the success of the activities listed herewith in meeting our goals.

For our Statewide Leadership Programs, we will determine if the output targets have been met through our end of project reports, and we will determine if the outcome targets identified for these programs have been met through surveys (Web-based, in person, or by telephone), town hall meetings and/or focus groups.

For grants to libraries, applicants will be asked to determine their outputs and outcomes, and those awarded grants will include reporting on these in their final reports.

In the evaluation of the 2002-2007 LSTA Five Year Plan, it was noted by the consultants who prepared the report that our grant recipients did not have adequate knowledge of evaluation methods, noting in particular an overlap between output and outcome reporting, and a lack of metrics and measures for evaluating projects. As a result, the State Library of North Carolina will establish and carry out a training program in evaluation methods for our grant recipients during the coming five-year interval to ensure that this lack is addressed well before the next five-year evaluation.

## **STAKEHOLDER INVOLVEMENT**

The State Library of North Carolina has a well-established program of stakeholder involvement in the development, implementation and evaluation of the LSTA five-year plan.

### **LSTA Advisory Committee**

At the outset of LSTA in the late 1990's, the State Library established an LSTA Advisory Committee to provide leadership for the federal library program in North Carolina. The nine-member committee is representative of our state, and is composed of members from various types of libraries from all geographic areas in the state. The committee serves to advise the State Librarian on plans and policies for our state's LSTA program, annual grant programs, funding priorities, and the evaluation of the LSTA program. The LSTA Advisory Committee is instrumental in the formulation of the Five-Year Plan.

The State Librarian appoints three new members to three-year terms in July of each year. Nominations are received from the various North Carolina library communities of interest (public, community college, UNC system, independent colleges and universities, special and school libraries), and are reviewed by the current LSTA Advisory Committee. Recommendations are forwarded to the State Librarian, who makes the appointments. The committee elects its own chair from the membership in summer of each year for a term of July 1 – June 30. A member may serve two one-year terms as chair.

### **State Library Commission**

The fifteen-member Commission is established by North Carolina General Statute to advise the Secretary of Cultural Resources on the operations of the State Library and library services, including the LSTA program, in North Carolina. Some members are

appointed by the Governor, the Speaker of the House, and the President Pro-Tempore of the Senate, while others represent the North Carolina Library Association and the North Carolina Public Library Directors Association.

### **State Library Commission Committees**

The State Library Commission's various committees (e.g., Public Library Development Committee; Youth Services Advisory Committee) may be asked to advise the State Library in planning and evaluating the LSTA program. The make-up of Commission committees include commission members, representatives of the library community, library users, and experts appropriate to the assigned tasks.

### **Grant Review Panels**

Grant review panels include not only State Library staff but also peer reviewers who are knowledgeable about the subject matter or type of grant under consideration. Peer reviewers come from a wide variety of libraries and educational institutions from all across the state.

### **Statewide Meetings**

In addition to these established bodies, we have called upon librarians across our state to participate in the LSTA program process. The recent evaluation of the five year plan covering the years 2002-2007 included two surveys (both paper and Web-based) and five Town Hall meetings. One Town Hall meeting was held in conjunction with the North Carolina School Library Media Association annual conference, and was attended only by school library media coordinators. The other four Town Hall meetings were held in cities across North Carolina (Asheville, Mooresville, Raleigh, and Fayetteville), and were attended by 99 library staff members from public (41%), school (25%), community college (14%), and academic libraries (14%), along with 5% from special libraries.

## **COMMUNICATION AND PUBLIC AVAILABILITY**

Following approval by IMLS, this plan will be published both on paper and on the Website of the State Library of North Carolina (<http://statelibrary.dcr.state.nc.us/>). A summary brochure of the plan, providing highlights and Web address, will be distributed at the biennial conference of the North Carolina Library Association in October 2007, to the North Carolina Public Library Directors Association and to other primary stakeholder groups. In addition, the State Librarian, the NC ECHO staff, Library Development Consultants, and others from the State Library will distribute and discuss this plan during library conferences and other gatherings, public forums, library visits, and other targets of opportunity.

## **MONITORING PROCEDURES**

The State Library of North Carolina monitors the Statewide Leadership Grant programs and direct sub-grants to libraries through both formal and informal methods. Once grants have been approved by the LSTA Advisory Committee, the State Library's federal program team, library development consultants, and State Library administration provide monitoring and oversight through a combination of emails, phone calls, and visits. Library development consultants identify and monitor grant projects located within their

areas of geographic responsibility, and library administration staff pays particular attention to any projects that appear to be having difficulty. Multiyear sub-grants require quarterly update reports and receive a monitoring visit at mid-year by a team comprised of State Library staff and representatives of the LSTA Advisory Committee, as well as representatives of other relevant advisory groups. The State Librarian decides whether a multiyear project will have continued funding based on the facts found and recommendations made by the mid-year visit team. The federal program team monitors all financial documents submitted for reimbursement. The final written report submitted to the State Librarian at the end of the grant period is reviewed by the federal program team and approved by the State Library administrative staff.

## APPENDIX

### CRITERIA FOR ELIGIBILITY

This section outlines the definitions of those organizations and institutions that are eligible to participate in the Library Services and Technology Act implementation in North Carolina.

- ***LSTA Definitions of Eligible Libraries***

The Library Services and Technology Act gives the State Library Administrative Agency (i.e., the State Library of North Carolina) the authority to expend funds allotted to the state either directly or through sub-grants or cooperative agreements to achieve the purposes of the Act. The LSTA includes most libraries of all types in its definition of eligibility for funding.

The Act defines the term "library" with a list that includes five types of libraries: a public library; a public elementary or secondary school library; an academic library; a research library; a private library or other special library (Sec. 213(2)(A-E)).

- ***Additional State Definitions of Eligible Organizations***

The State Library of North Carolina and the LSTA Advisory Committee have developed these additional guidelines and definitions to assist in the implementation of the LSTA program in North Carolina. They outline the libraries and organizations that are eligible to apply for and receive LSTA funds; however, specific eligibility will be determined by the priorities in the overall LSTA plan and in annual programs.

The following are the broad policy guidelines for determining eligibility:

- Every library or organization defined as eligible to apply for LSTA funds must be either publicly funded (receive at least 51% of its operating funds from tax dollars) or not-for-profit (recognized as tax-exempt by the Internal Revenue Service).
- An eligible school library must be headed by a full-time certified school media coordinator. Other eligible libraries must be headed by a trained library professional with a masters degree in library and information science from a graduate library education program accredited by the American Library Association or by a regional accrediting organization.
- Every eligible library must have a cataloged collection of information resources, designated space, a materials budget, and be open a minimum of 20 hours per week.
- For collaborative projects one partner must be designated as the "lead" library to accept and administer the grant. The lead library in a collaborative project must meet all eligibility requirements.



The following are specific definitions for types of libraries that are eligible under North Carolina's LSTA program:

- **Public Libraries:** Libraries that qualify for grants from the North Carolina Aid to Public Libraries Fund.
- **Public School Libraries:** Libraries/media centers in elementary or secondary (middle/junior and/or senior high) schools recognized as public schools by North Carolina's Department of Public Instruction and accredited by the Southern Association of Colleges and Schools. This definition includes libraries in state-approved charter schools. For schools that have chosen not to seek accreditation by the Southern Association of Colleges and Schools, the school library media center must meet or exceed accreditation standards.
- **Academic Libraries:** Libraries in public or private institutions of higher education—universities, colleges, community colleges, and junior colleges (2-year, 4-year and graduate degree-granting institutions)—accredited by the Southern Association of Colleges and Schools. These are libraries in institutions that are part of the University of North Carolina system; libraries in institutions that are part of the North Carolina Community College System, and libraries in private academic institutions defined as qualifying for North Carolina students to receive legislative tuition grants under G.S. 116-22(1).
- **State Library of North Carolina:** The State Library is eligible to receive funds to support the administration of the program, to carry out statewide programs, or to improve its services in a manner consistent with the LSTA plans, priorities and policies.
- **State Agency Libraries:** Libraries that are part of a state government agency, including libraries that serve staff and residents of rehabilitative and correctional institutions.
- **Special Libraries:** Libraries operated by professional, scientific, or trade associations, governments, hospitals, or other organizations, agencies or institutions primarily to serve their own specialized clientele. To qualify a special library must be willing to share resources either through public access on site or through interlibrary loan within the state.
- **Library Cooperative Organizations:** A formally organized cooperative association of libraries that provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers, for improved services for the clientele of such libraries. At least half of the members of the organization must be eligible libraries.

- **Library-Related Organizations:**  
State and local library-related organizations or associations established for the purpose of supporting the programs and services of libraries (e.g., Friends groups, library foundations). To qualify for funding, organizations shall be affiliated with a library defined as eligible to receive LSTA funds.
  - State and local professional library associations providing or encouraging professional involvement and continuing education (e.g., the North Carolina Library Association).
  - Library/media center administrative units of public school districts or institutions of higher education.
  - Graduate library education programs accredited by the American Library Association or by a regional accrediting organization.
  - **National or Regional Library Organizations:** Other state library agencies and national or regional not-for-profit library associations and organizations may be eligible to receive LSTA funds for collaborative projects and grants that will benefit North Carolina libraries and the people they serve.
- ***Non-Eligible Organizations***  
There are several types of libraries and library-related organizations that are specifically not eligible to receive LSTA grants under North Carolina’s plan:
    - Libraries serving for-profit organizations and federally-recognized Indian tribes<sup>1</sup> are not eligible to apply directly for funds, but *may* be beneficiaries of collaborative projects that are LSTA-funded. Opportunities for use of LSTA would require partnering with eligible libraries or library-related organizations.
    - Based on the language of the original act passed by Congress, libraries in private elementary and secondary schools are not eligible for funding under the Library Services and Technology Act.
  - ***Other Eligibility Determinants***  
Specific eligibility requirements will be driven by the priorities that are set in the strategic plan and the annual programs for targeting the funds to achieve the five-year goals and targets.

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<sup>1</sup> Other LSTA funds are available for federally-recognized tribal libraries.

## **POLICIES & PROCEDURES FOR GRANT PROGRAMS**

- ***Policy on Use of LSTA State Program Grant Funds***

The State Library of North Carolina is the recipient of federal funds for libraries through an LSTA State Program Grant from the Institute of Museum and Library Services (IMLS). While some states spend their LSTA funds solely at the state library agency level, the State Library of North Carolina, with the concurrence of the LSTA Advisory Committee, chooses to expend these funds on statewide projects and to provide sub-grants to eligible libraries across the state. For sub-grants, federal regulations and the State Library's policy for the LSTA State Program Grant require that federal funds (1) leverage local dollars, and (2) create incentives for the continuous improvement and innovation of library services statewide.

In addition, the LSTA legislation emphasizes accountability, and there is a strong requirement in the law for evaluation to demonstrate the impact of these federal funds. As the agency responsible for administering LSTA in North Carolina, the State Library must be able to document the impact of LSTA funds. In order to meet this requirement, sub-grantees will be required to report on the outcomes of their projects to the State Library.

- ***Use of LSTA Funds for Indirect Costs***

LSTA sub-grant awards will not be approved for applications that include indirect costs, administrative overhead, or contingency funds. While the State Library and the LSTA Advisory Committee recognize that sub-grantees incur costs in administering grants, this restriction is consistent with the policy that guides the LSTA program in North Carolina.

Libraries or library organizations other than the State Library that administer Statewide Leadership Grants may receive a 5% administrative fee in recognition of the statewide benefit of the project.

- ***Grant Categories***

- **EZ Grants**: Grant programs with clearly defined purposes and outcomes use this simplified application process. The LSTA Advisory Committee sets criteria for each EZ grant program that it approves in the Annual Program for LSTA. State Library staff reviews applications and determines funding decisions based on those criteria. EZ Grants do not require a letter of intent, and applicants have the opportunity to appeal funding decisions to the LSTA Advisory Committee.

Applications for this grant category use simple forms that require less information than project grants and focus primarily on the basic description of project plans. Libraries are expected to define needs and to describe plans that are consistent with grant goals and guidelines in order to qualify for funding.

- **Project Grants:** The State Library in consultation with the LSTA Advisory Committee develops grant programs to advance the LSTA Plan. Grants are awarded for more complex projects that have locally defined outcomes that meet the grant program criteria. Generally, Project Grants award funding at a higher level than EZ grants.

The Annual Program sets criteria for Project Grants, and the State Library invites applicants to submit Letters of Intent (LOI). The LSTA Advisory Committee reviews the Letters of Intent and makes recommendations based on those criteria following preliminary review by State Library staff. If a library's LOI is approved, then it is invited to submit a full application. State Library staff and peer reviewers evaluate full grant applications. The LSTA Advisory Committee reviews the applications and the staff/peer reviewers' ratings and makes its funding recommendations to the State Librarian.

- **Statewide Leadership Grants:** These grants fund programs with broad, statewide impact developed by the State Library in response to emerging or broad-based needs and consistent with the LSTA plan and priorities.

The LSTA Advisory Committee reviews all Statewide Leadership Grant proposals prior to approval for funding.

A matrix comparing the above grant categories is attached on page 20.

**Special Grants:** These grants fund programs that arise on an *ad hoc* basis which meet the requirements of the LSTA plan and priorities and that have a clear benefit for the libraries of a community of interest or for all of the state's libraries.

The LSTA Advisory Committee reviews Special Grant proposals prior to approval for funding.

- ***Annual Grant Timeline***

Each year, the State Library uses a sequential process to award grant funds with the following steps:

- Summer:
  - The Annual Program Plan is developed in consultation with the LSTA Advisory Committee. This plan outlines the grants that will be offered for the next year, based on the LSTA five-year plan, priority needs, and the evaluation of the program outcomes to date.
- Fall:
  - First announcement of grant programs for the next fiscal year is made, and libraries are invited to submit Letters of Intent for Project Grants.
  - State Library staff and the LSTA Advisory Committee review and evaluate the Letters of Intent and provide feedback that advises applicants whether or not they may submit a full proposal for Project Grants.
- Winter:

- Full information on all grant programs that will be offered during the next year is released.
  - State Library provides technical assistance and informal review of drafts for potential applicants.
  - All grant applications are due in February.
- Spring:
  - State Library staff and peer reviewers review and evaluate applications.
  - State Library Senior Management Team prepares the State Library's preliminary recommendations to the LSTA Advisory Committee.
  - Final review of all proposals is made by the LSTA Advisory Committee to determine the final projects that they will recommend for funding based on a series of objective criteria.
  - Recommendations on funding are submitted to the State Librarian in May.
  - Unsuccessful applicants for EZ Grants are notified of decisions and their right to appeal.
  - Appeals are reviewed by LSTA Advisory Committee.<sup>2</sup>
  - Final funding decisions are announced in June.
  - Agreements are finalized by July 1, and projects are funded for the new year.
- ***Multiyear Grants***

The following policies and procedures will guide the implementation of multiyear grants:

  - Grant program guidelines will specify whether multiyear grants are an option for applicants.
  - Multiyear Project Grants will be funded for a maximum of three years.
  - No project will be guaranteed funding for the second and third years. Factors that will determine funding in second and third years include the availability of federal funds and the grantee's effectiveness in managing the project and in providing required reports to the State Library.
  - Projects designed to develop new services must demonstrate long-term sustainability that meets specific requirements described in the grant program guidelines.

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<sup>2</sup>In any competitive grant round, unsuccessful grant applicants whose proposals were not reviewed by the LSTA Advisory Committee will be notified that they have the right to appeal decisions regarding funding. The notification will provide a brief window of time in which applicants may appeal the decision of the State Library to the LSTA Advisory Committee. No grant agreements will be executed for a grant round until all appeals are complete.

## **USE OF LSTA FUNDS FOR ADMINISTRATIVE PURPOSES**

Under the terms of LSTA, the State Library is authorized to use up to 4% of the state's allotment to support administration of the program. It is anticipated that the following expenditures will be required to support the program:

- Indirect costs required by the Department of Cultural Resources;
- Costs of convening meetings of the LSTA Advisory Committee and other advisory groups such as grant review panels;
- Costs associated with LSTA program administration such as printing, postage, supplies, etc.;
- Costs associated with training to support implementation of LSTA, including grant writing workshops, evaluation workshops, and training for grant reviewers;
- Costs associated with convening periodic regional meetings concerning LSTA needs assessments and planning;
- State Library staff travel costs associated with various LSTA statewide, regional, and national activities;
- Costs associated with contracted consultant services with an outside evaluator to prepare and conduct a summative evaluation of the 5-years of LSTA programs as required by the LSTA Act; and
- Other consulting costs associated with the administration of the program.

## LSTA GRANT CATEGORIES MATRIX

	<b>EZ</b>	<b>Project</b>	<b>Statewide Leadership</b>
<b>Grant Category</b>	Grant programs with clearly defined purposes and outcomes	More complex projects that have locally defined outcomes	Programs with broad, statewide impact developed by the State Library in response to emerging or broad-based needs and consistent with the LSTA plan and priorities
<b>Funding Level</b>	Low to Moderate	Moderate to High	Moderate to High
<b>Multi-Year Projects</b>	No	Yes	Yes
<b>Collaborative Proposals Receive Greater Weight</b>	No	Yes	No
<b>Letter of Intent required</b>	No	Yes	No
<b>Application Process</b>	Simple form with basic description of local needs and project plan	<ul style="list-style-type: none"> <li>• Documented need or problem (needs assessment)</li> <li>• Clear goal</li> <li>• Specific measurable objectives</li> <li>• Realistic clear action plan</li> <li>• Well developed budget</li> <li>• Effective evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Documented need or problem linked to LSTA Plan</li> <li>• Clear goal</li> <li>• Specific measurable objectives</li> <li>• Realistic clear action plan</li> <li>• Well developed budget</li> <li>• Effective evaluation</li> </ul>
<b>Applications reviewed by</b>	State Library staff and peer reviewers for some categories	State Library staff and peer reviewers	LSTA Advisory Committee
<b>Determine funding decision</b>	State Library staff makes funding recommendation to State Librarian	LSTA Advisory Committee makes funding recommendation to State Librarian	LSTA Advisory Committee makes funding recommendation to State Librarian
<b>Opportunity to appeal</b>	Yes	No	No