



Library Services and Technology Act Five-Year Plan

2013-2017

Submitted: June 2012



Raleigh, North Carolina

TABLE OF CONTENTS

INTRODUCTION.....	1
MISSION	2
NEEDS ASSESSMENT	2
GOALS OVERVIEW.....	3
Goal 1: Partnerships and Collaboration.....	4
Goal 2: Continuing Education.....	6
Goal 3: Literacy and Lifelong Learning.....	7
Goal 4: Access, Digitization, and Preservation.....	9
EVALUATION PLAN	10
STAKEHOLDER INVOLVEMENT	10
COMMUNICATION AND PUBLIC AVAILABILITY	11
MONITORING	11
MEASURING SUCCESS	12
APPENDIX	15

LSTA Five-Year Plan

October 1, 2012 – September 30, 2017

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 eight 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 in order to support such individuals' needs for education, lifelong learning, workforce development, and digital literacy skills;
2. establish or enhance electronic and other linkages and improved coordination among and between libraries and entities for the purpose of improving the quality of and access to library and information services;
3. (a) provide training and professional development, including continuing education, to enhance the skills of the current library workforce and leadership, and advance the delivery of library and information services, and (b) enhance efforts to recruit future professionals to the field of library and information services;
4. develop public and private partnerships with other agencies and community-based organizations;
5. target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, and to individuals with limited functional literacy or information skills;
6. target library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line (as defined by the Office of Management and Budget and revised annually in accordance with section 9902(2) of title 42) applicable to a family of the size involved;
7. develop library services that provide all users access to information through local, state, regional, national, and international collaborations and networks; and
8. carry out other activities consistent with the purposes set forth in section 9121, as described in the SLAA's plan.

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 fourth 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.

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

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

Other library types may be eligible for programs identified in the Annual Program Plan, as established each summer by the LSTA Advisory Committee and State Library staff. Criteria for eligibility are explained in the Appendix.

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 is the catalyst for exceptional library services in North Carolina. We are the principal library of state government; we build the capacity of all libraries in North Carolina; and we develop and support access to specialized collections for the people of North Carolina, including genealogy, North Caroliniana, and resources for the blind and physically handicapped.

The Library Development Section administers the LSTA program to serve North Carolina's libraries through:

- Developing strong partnerships with libraries and their communities to advance and extend library services;
- Coordinating planning efforts and continuing education to improve library services statewide;
- Supporting equitable access to information resources with an emphasis on digital technologies; and
- Fostering an innovative spirit within all types of libraries.

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, 2012 – September 30, 2017 on the findings and recommendations of the *Evaluation: 2008 – 2012 LSTA Plan and Activities*, the results of a targeted survey conducted February 2012, specific feedback from the LSTA Advisory Committee, and North Carolina demographic data, an essential element of consideration in our rapidly changing state.

GOALS OVERVIEW

The State Library of North Carolina's LSTA Five-Year Plan for 2013-2017 consists of four goals. Each goal addresses one or more of the eight LSTA purposes and is based on identified needs. This plan is intended to advance excellence and equity in North Carolina's libraries and to encourage creativity and innovation.

Goal 1: Partnerships and Collaboration

North Carolina libraries will partner with each other, with businesses, and with other organizations to extend their reach and enhance their capacity.

Goal 2: Continuing Education

North Carolina library staff will have the necessary planning and learning opportunities that enable them to provide exceptional library programs, services, and resources.

Goal 3: Literacy and Lifelong Learning

North Carolina libraries will equip users for success in life, school, and work through library programs and services that support literacy and lifelong learning.

Goal 4: Access, Digitization, and Preservation

North Carolina libraries will expand access to information resources by strengthening, sharing, digitizing and preserving our valuable and unique collections.

The State Library of North Carolina will meet these goals through a combination of Statewide Leadership Programs, sub-grants to local libraries, and Special Projects. Many grant programs that address these goals already exist; others will be added to meet newly identified needs. The timeline for all the LSTA programs covered in this plan will be the full five-year period, 2013 – 2017.

GOALS OF THE PLAN

Goal 1: Partnerships and Collaboration

North Carolina libraries will partner with each other, with businesses, and with other organizations to extend their reach and enhance their capacity.

Needs Addressed

- Ease of access to resources and services for child development, health and wellness, senior citizens, e-government, and workforce development
- Leveraged resources and skills of various community service entities
- Seamless access for users to North Carolina library holdings
- Reduced digital divide for users and improved digital citizenship

Activities

- Form partnerships at the state and national level that provide models for local libraries.
- Assist libraries with the development of needs assessments as well as program and/or specific project plans that strengthen partnerships and collaborations.
- Provide learning opportunities for library staff about partnerships and collaboration.
- Sponsor programs and support libraries in developing new partnerships and collaborations.
- Support library programs and services that partner or collaborate with other organizations to serve targeted communities of users who are currently unserved or underserved.
- Sponsor opportunities that foster innovation.
- Support a shared integrated library system for North Carolina's public libraries.

Outcomes

- Libraries are involved in an increased quantity of collaborative ventures.
- Library patrons have improved access to library resources and services for child development, health and wellness, e-government, and workforce development.
- North Carolinians consider the library an anchor institution and an expert on community services.

LSTA Purposes Addressed by this Goal:

2. establish or enhance electronic and other linkages and improved coordination among and between libraries and entities for the purpose of improving the quality of and access to library and information services;
3. (a) provide training and professional development, including continuing education, to enhance the skills of the current library workforce and leadership, and advance the delivery of library and information services, and (b) enhance efforts to recruit future professionals to the field of library and information services;
4. develop public and private partnerships with other agencies and community-based organizations;
5. target library services to individuals of diverse geographic, cultural, and

- socioeconomic backgrounds, and to individuals with limited functional literacy or information skills;
6. target library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line (as defined by the Office of Management and Budget and revised annually in accordance with section 9902(2) of title 42) applicable to a family of the size involved; and
 7. develop library services that provide all users access to information through local, state, regional, national, and international collaborations and networks.

Goal 2: Continuing Education

North Carolina library staff will have the necessary planning and learning opportunities that enable them to provide exceptional library programs, services, and resources.

Needs Addressed

- Annual assessment of staff training needs
- Assessment of community needs
- Planning activities
- Capacity to develop and deliver training programs

Activities

- Provide learning opportunities for library staff to assess current and future user needs.
- Annually assess library staff training needs.
- Provide learning opportunities for library staff in response to identified needs.
- Provide training for library staff to be able to train library patrons in areas of need (i.e. child development, health and wellness information, senior citizen services, use of technology, use of e-government resources, workforce development, etc.).
- Sponsor opportunities that foster innovation.

Outcomes

- Library staff who participate in learning opportunities report and demonstrate new attitudes and skills in library programs, services, and resources.

LSTA Purposes Addressed by this Goal:

3. (a) provide training and professional development, including continuing education, to enhance the skills of the current library workforce and leadership, and advance the delivery of library and information services, and (b) enhance efforts to recruit future professionals to the field of library and information services.

Goal 3: Literacy and Lifelong Learning

North Carolina libraries will equip users for success in life, school, and work through library programs and services that support literacy and lifelong learning.

Needs Addressed

- Digital and information literacy
- Literacy that fosters the joy of reading
- Lifelong learning
- Workforce development

Activities

- Provide learning opportunities for library staff to use new models and techniques for building literacy and lifelong learning skills.
- Provide learning opportunities for library staff to use new models and techniques for their development of programming and services that address specific needs in their community.
- Ensure access to 24/7 information services for all North Carolinians.
- Support libraries in providing library users with Internet, literacy, and workforce development skills, and in the use of electronic information resources.
- Support libraries in their development of programming and services that address specific needs in their community.
- Support libraries in their development of lifelong learning programs and services that address specific research needs or interests of North Carolinians.
- Support technology based projects that improve library programs and services for users such as enhancing Internet infrastructure, wireless systems, learning spaces, etc.
- Support library outreach programs and services that target persons
 - lacking digital literacy skills
 - 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;
 - for whom reading, or reading in English, is difficult; and
 - in need of skill development for entry or improvement in the workforce.
- Sponsor opportunities that foster innovation.
- Assist libraries with the development of needs assessments as well as long-range program and/or specific project plans to ensure the expansion and development of library services that meet the needs of diverse audiences and the identification of appropriate community partners.

Outcomes

- Library users have improved digital and information literacy.
- Library users have increased opportunities that support their lifelong learning.
- Library users consider the library a valuable partner in improving their workforce status.

LSTA Purposes Addressed by this Goal:

1. expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages in order to support such individuals' needs for education, lifelong learning, workforce development, and digital literacy skills;
5. target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, 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 birth through age 17) from families with incomes below the poverty line (as defined by the Office of Management and Budget and revised annually in accordance with section 9902(2) of title 42) applicable to a family of the size involved.

Goal 4: Access, Digitization, and Preservation

North Carolina libraries will expand access to information resources by strengthening, sharing, digitizing and preserving our valuable and unique collections.

Needs Addressed

- Access to statewide electronic resources
- Seamless, stable access to North Carolina's special and unique library collections
- Digitization and preservation of library resources in all formats
- Digitization and preservation of special and unique library collections

Activities

- Identify and provide access to special and unique library collections.
- Assist libraries with the development of needs assessments as well as long-range program and/or specific project plans to provide access to digitized collections.
- Provide learning opportunities for library staff to develop or maintain skills in providing access to, preserving, or digitizing library resources in all formats.
- Sponsor opportunities that foster innovation.
- Support the continued development of digital resources statewide including enhanced digitization services and consulting with local libraries.
- Support the continued development of statewide electronic resources.

Outcomes

- North Carolinians have access to an increased number of digital resources.
- Libraries have increased capacity to digitize and preserve their unique collections.
- North Carolinians have increased awareness of and access to special and unique collections in North Carolina libraries.

LSTA Purposes Addressed by this Goal:

1. expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages in order to support such individuals' needs for education, lifelong learning, workforce development, and digital literacy skills;
2. establish or enhance electronic and other linkages and improved coordination among and between libraries and entities for the purpose of improving the quality of and access to library and information services; and
7. develop library services that provide all users access to information through local, state, regional, national, and international collaborations and networks.

EVALUATION PLAN

The State Library of North Carolina will use a variety of methodologies in evaluating the success of the activities in meeting our goals. We will seek opportunities to use Outcome Based Evaluation for selected programs and we look forward to forthcoming guidance from IMLS in further use of this approach.

For our Statewide Leadership Programs and Special Projects, we will determine if the outcomes have been met through surveys (Web-based, in person, or by telephone), town hall meetings and/or focus groups.

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

In the evaluation of the 2008-2012 LSTA Five Year Plan, it was noted 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, during 2013-2017 the State Library of North Carolina will establish and deliver an evaluation methods training program with supplemental materials available online (such as podcasts, video clips, templates, etc.) to ensure that this deficiency is addressed.

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 each year's Annual Program Plan and 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, school and special 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

This 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; ad-hoc committees appointed as needed) 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 Reviews

Grant reviews may 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 2008-2012 included an online survey, 11 personal interviews, and four Open Forum meetings held in cities across North Carolina (Asheville, Concord, Raleigh, and Greenville), and were attended by 55 library staff members from public (55%), academic (17%), school (16%), and community college libraries (10%), along with 2% from other 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.ncdcr.gov/>>. An email announcement of the plan with the Web address, will be distributed to the North Carolina Library Association membership, the North Carolina Public Library Directors Association, and to other primary stakeholder groups. In addition, the State Librarian, 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

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 awarded by the State Librarian, State Library staff and the LSTA Advisory Committee provide monitoring and oversight through a combination of emails, phone calls, and site visits. Library development consultants identify and monitor grant projects located within their areas of geographic responsibility and the federal program team pays particular attention to any projects that appear to be having difficulty. The federal program team monitors all financial documents submitted for reimbursement.

The final written report submitted at the end of the grant period is reviewed and approved by the federal program team and State Library staff.

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.

MEASURING SUCCESS

In an effort to create a national picture with the information captured in the annual State Program Reports, required by IMLS from each SLAA, IMLS introduced a program called Measuring Success. Below are descriptions of the “focal areas” identified by IMLS and the following pages show how the focal areas are addressed by the activities outlined in this Five Year Plan.

Lifelong Learning. These activities can range from the provision of instructional information resources to direct instructional services delivered by libraries or in partnership with local entities with the goal of transferring knowledge or skills to advance educational aims.

- Examples of lifelong learning activities include: traditional adult and family literacy programs; summer reading, early literacy initiatives. State development and partnership activity designed to improve instructional capabilities of local libraries can be reported here as well.

Human Services. These activities can range from the provision of instructional information resources to direct services, however these activities are focused on providing resources to remediate social problems and improve participants’ quality of life.

- Examples of human service related activities include: parenting classes; certification programming for child development, health information services, 50+ programming, etc. State development and partnership activity designed to improve human services capabilities of local libraries can be reported here as well.

Employment and Economic Development. These activities address economic needs of individuals and communities.

- Examples of employment and economic development service include: financial literacy resources and programming; employment training/resume building; business development/information centers. State development and partnership activity designed to improve instructional capabilities of local libraries should be reported here as well.

Information Access. These activities broaden public access to content through the purchase or original development of information resources (e.g. databases, computer technology).

- Examples of information access services include: Digitization activities; database activities; electronic reference; commercial reference services; eBooks/eAudio/eMusic; cataloging subscription services; interlibrary loan. State development and partnership activity designed to improve information access should be reported here as well.

Library Capacity Building. These activities aim at modernizing existing libraries and/or supporting the development of sound policies, organizational structures, and effective methods of management and revenue development in order to improve the efficiency of library services.

- Examples of library capacity building include: Certification of public libraries; facilities/personnel consultation; CE/Staff Development (where such training cannot be differentiated into other targeted focal areas); and planning and needs assessments.

IMLS Focal Area	Goal	SLNC Activity
Lifelong Learning	Goal 1	Form partnerships at the state and national level that provide models for local libraries.
Library Capacity Building	Goal 1	Assist libraries with the development of needs assessments as well as program and/or specific project plans that strengthen partnerships and collaborations.
Lifelong Learning	Goal 1	Provide learning opportunities for library staff about partnerships and collaboration.
Lifelong Learning	Goal 1	Sponsor programs and support libraries in developing new partnerships and collaborations.
Library Capacity Building	Goal 1	Support library programs and services that partner or collaborate with other organizations to serve targeted communities of users who are currently unserved or underserved.
Human Services, Employment and Economic Development	Goal 1	Sponsor opportunities that foster innovation.
Information Access	Goal 1	Support a shared integrated library system for North Carolina's public libraries.
Library Capacity Building	Goal 2	Provide learning opportunities for library staff to assess current and future user needs.
Library Capacity Building	Goal 2	Annually assess library staff training needs.
Library Capacity Building	Goal 2	Provide learning opportunities for library staff in response to identified needs.
Lifelong Learning, Human Services, Employment and Economic Development	Goal 2	Provide training for library staff to be able to train library patrons in areas of need (i.e. child development, health and wellness information, senior citizen services, use of technology, use of e-government resources, workforce development, etc.).
Lifelong Learning, Employment and Economic Development	Goal 2	Sponsor opportunities that foster innovation.
Lifelong Learning	Goal 3	Provide learning opportunities for library staff to use new models and techniques for building literacy and lifelong learning skills.
Lifelong Learning, Human Services, Employment and Economic Development	Goal 3	Provide learning opportunities for library staff to use new models and techniques for their development of programming and services that address specific needs in their community.
Information Access	Goal 3	Ensure access to 24/7 information services for all North Carolinians.
Human Services	Goal 3	Support libraries in providing library users with Internet, literacy, and workforce development skills, and in the use of electronic information resources.
Human Services, Employment and Economic Development	Goal 3	Support libraries in their development of programming and services that address specific needs in their community.
Lifelong Learning	Goal 3	Support libraries in their development of lifelong learning programs and services that address specific research needs or interests of North Carolinians.
Lifelong Learning	Goal 3	Support technology based projects that improve library programs and services for users such as enhancing Internet infrastructure, wireless systems, learning spaces, etc.

IMLS Focal Area	Goal	SLNC Activity
Human Services, Employment and Economic Development	Goal 3	Support library outreach programs and services that target persons <ul style="list-style-type: none"> • lacking digital literacy skills • 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; • for whom reading, or reading in English, is difficult; and • in need of skill development for entry or improvement in the workforce.
Human Services, Employment and Economic Development	Goal 3	Sponsor opportunities that foster innovation.
Library Capacity Building	Goal 3	Assist libraries with the development of needs assessments as well as long-range program and/or specific project plans to ensure the expansion and development of library services that meet the needs of diverse audiences and the identification of appropriate community partners.
Information Access	Goal 4	Identify and provide access to special and unique library collections.
Library Capacity Building	Goal 4	Assist libraries with the development of needs assessments as well as long-range program and/or specific project plans to provide access to digitized collections.
Information Access	Goal 4	Provide learning opportunities for library staff to develop or maintain skills in providing access to, preserving, or digitizing library resources in all formats.
Lifelong Learning, Human Services, Employment and Economic Development	Goal 4	Sponsor opportunities that foster innovation.
Information Access	Goal 4	Support the continued development of digital resources statewide including enhanced digitization services and consulting with local libraries.
Information Access	Goal 4	Support the continued development of statewide electronic resources.

APPENDIX

CRITERIA FOR ELIGIBILITY

This section outlines the definitions of those organizations and institutions that may be 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 may be eligible to apply for and receive LSTA funds; however, specific eligibility will be determined by the priorities in the overall LSTA plan and in the Annual Program Plan.

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).
- 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.
- 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 master's degree in library and information science from a graduate library education program accredited by the American Library Association or by a regional accrediting organization.

- 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 may be eligible under North Carolina’s LSTA program:

- **Public Libraries:** Libraries that qualify for grants from the North Carolina Aid to Public Libraries Fund.
- **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.
- **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.
- **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 tribes¹ 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.

¹ 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.

Annual Program Plan

The State Library in consultation with the LSTA Advisory Committee identifies and develops grant programs to advance the LSTA Plan and establishes criteria for each program that it approves in the Annual Program Plan.

Grant Categories

- **EZ Grants** are for projects with clearly defined purposes and outcomes. State Library staff review applications and determine funding decisions based on those criteria. EZ Grants do not require a letter of intent; applicants have the opportunity to appeal funding decisions to the LSTA Advisory Committee.
- **Project Grants** are for more complex projects that have locally defined outcomes and are at a higher funding level than EZ grants. The Annual Program sets criteria for Project Grants, and the State Library invites applicants to submit Letters of Intent (LOI). State Library staff and the LSTA Advisory Committee review the Letters of Intent and make recommendations based on the specified criteria. 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** fund programs with broad, statewide impact developed by the State Library in response to emerging or broad-based needs that are consistent with the LSTA plan and priorities. State Library staff and the LSTA Advisory Committee provide feedback to the State Librarian on Statewide Leadership Grant proposals.

A table summarizing the above grant categories is attached on page 22.

- **Special 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. State Library staff and the LSTA Advisory Committee provide feedback to the State Librarian on Special Grant proposals.

Annual Grant Timeline

Each year, the State Library uses a sequential process to award grant funds.

- 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.
 - Full information on all grant programs that will be offered during the next year is released.
 - 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
 - State Library provides technical assistance and informal review of drafts for potential applicants.
 - Grant applications are due in February.
- Spring
 - State Library staff and peer reviewers review and evaluate applications.
 - State Library preliminary recommendations are provided 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.²
- 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.

² 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 TABLE

	EZ	Project	Statewide Leadership
Grant Category	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 consistent with the LSTA plan and priorities
Funding Level	Low to Moderate	Moderate to High	Moderate to High
Multi-Year Projects	No	Yes	Yes
Collaborative Proposals Receive Greater Weight	No	Yes	No
Letter of Intent required	No	Yes	No
Application Process	Basic form with description of local needs and project plan	More complex project, larger scope, may involve partners	State Library identifies need or problem linked to LSTA Plan and proposes solution
Applications reviewed by	State Library staff and peer reviewers for some categories	State Library staff, peer reviewers, and LSTA Advisory Committee	State Library staff, LSTA Advisory Committee
Determine funding decision	State Library staff makes funding recommendation to State Librarian	State Library staff and LSTA Advisory Committee make funding recommendation to State Librarian	State Library staff and LSTA Advisory Committee make funding recommendation to State Librarian
Opportunity to appeal	Yes	No	No