

LIBRARY SERVICES & TECHNOLOGY ACT GRANTS

GUIDELINES

LSTA Application

flibraries.org

Application Deadline
~~April 8, 2015~~ [date], 2016

**Florida Department of State
Division of Library and Information Services
R. A. Gray Building, 500 South Bronough Street
Tallahassee, Florida 32399-0250**

For Assistance and Information

Contact Grants Staff:

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These Guidelines are also available electronically at: info.florida.gov/services-for-libraries/grants/lsta/guidelines-applications-and-forms/ and can be made available in alternative formats.

Applications must be submitted electronically using the Florida Libraries and Grants System at fllibraries.org.

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- Chapter 257, *Florida Statutes* 17
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LIBRARY SERVICES & TECHNOLOGY ACT GRANTS GUIDELINES

I. OVERVIEW

The Florida Department of State, Division of Library and Information Services is the state library administrative agency officially designated to receive and administer federal grant funds from the Institute of Museum and Library Services.

The Library Services and Technology Act (LSTA), the major federal grant program for libraries, was amended on December 22, 2010. The program, administered by the Institute of Museum and Library Services, LSTA:

- Is a state-based program.
- Has purposes which focus on information access through technology and information empowerment through special services.
- Emphasizes public libraries but encourages interlibrary cooperation and partnerships among all types of libraries.
- Increases emphasis on accountability and evaluation.
- Is authorized under 20 *United States Code* 9101 et seq, as amended. The general administrative requirements may be found in 45 *Code of Federal Regulations* Part 1183, incorporated herein by reference.

Florida's grant program is based on the purposes of LSTA and the needs of Florida residents and libraries. It is developed from the goals and outcomes provided in Florida's Library Services and Technology Act long-range plan, incorporated herein by reference. Grant projects must clearly fit in with both the LSTA purposes and priorities as listed in Section VIII and Florida's long-range plan.

II. DEFINITIONS

- *Catalog of Federal Domestic Assistance (CFDA)* is a government-wide compendium of Federal programs, projects, services and activities that provide assistance or benefits to the American public. It contains financial and nonfinancial assistance programs administered by departments and establishments of the Federal government.
- ***Deliverable*** means the quantifiable goods or services that must be provided in order to receive payment. Each deliverable must be connected with one or more activities identified and described in the Scope of Work. Deliverables, along with the Scope of Work, are included in the grant agreement. Deliverables must be agreed upon by the Division and the grant recipient. The deliverables will be developed by the grant applicant in the grant application for inclusion in the grant agreement but may be renegotiated by request of the Division.
- ***Department*** means the Florida Department of State.

- **Division** means the Division of Library and Information Services of the Florida Department of State.
- **Financial consequences** means the consequences that will be applied if the grant recipient fails to perform all activities outlined in the Scope of Work and/or fails to meet the deliverables outlined in the grant agreement. Per Section 287.058, *Florida Statutes*, the Division is required to specify a reduction in funding that will be applied if the subrecipient fails to perform all activities outlined in the Scope of Work and/or fails to meet the deliverables outlined in the grant agreement. Financial consequences are tied to deliverables and each payment.
- **Florida Accountability Contract Tracking System (FACTS)** is the State of Florida’s centralized online contract reporting system. All information pertaining to the grant agreement will be available on the FACTS system and viewable by the public. This includes the grant agreement, payment information, deliverables, performance metrics, grant award and audit information. FACTS is online at facts.fldfs.com.
- **Florida Library Information Network (FLIN)** is the statewide cooperative network for interlibrary loan and resource sharing. FLIN was established in 1968 so that all Florida residents could have access to information and materials held in Florida's libraries. Membership includes libraries of all types. FLIN participation, policies, protocols and procedures are described in *The FLIN Manual*. *The FLIN Manual* is hereby incorporated by reference and is available free of charge from Director, Division of Library and Information Services, 500 S. Bronough Street, Mail Station #9D, Tallahassee, FL 32399-0250 or online at info.florida.gov/services-for-libraries/more-programs/statewide-resource-sharing/flin/.
- **Indirect Costs** are costs incurred by an organization that cannot be readily isolated or identified with just one project or activity. These types of costs are often referred to as “overhead costs.” Typical examples of indirect costs include payments for general telephone service, postage, office supplies, office space expenses, and administrative or financial operations for an entire organization. Indirect costs are authorized under Section 200.414, *Code of Federal Regulations (CFR)*. For more information on the indirect cost rate that can be used, see Section IX, Grants Administration.
- **LSTA Advisory Council** is a nine member group that advises the Division on policy matters related to the state plan and participates in the LSTA application review process. Appointed by the secretary of state, the council is composed of library supporters and librarians from around Florida who are interested in libraries from a variety of vantage points.
- **Noncompliance** means the subrecipient is not following *Florida Statutes*, rules, the terms of the grant agreement, Florida Department of State policies and guidance, local policies, or other applicable laws. For the consequences that result from noncompliance, see Section XI, Grant Administration.
- **Performance measures** provide the criteria for evaluating the successful completion of each deliverable.

- **Performance metrics** describe the documentation to be used to prove the deliverable has been met.
- **Performance standards** describe the acceptable level of services to be performed or products to be delivered.
- **Project Summary** is a brief overview of the project, including a description of the target audience, the needs to be addressed and how the project will meet those needs. A project summary is not the same as a scope of work.
- **Scope of Work** is a description of the specific work to be performed under the grant agreement in order to complete the project. It is not the same as the project summary but provides more detail and is typically broken down into specific activities with deadlines. The scope of work will be provided by the applicant in the grant application for inclusion in the grant agreement but may be renegotiated by request of the Division.

III. WHO CAN APPLY

Florida libraries and nonprofit organizations primarily related to the provision or support of library services are eligible to apply for LSTA funds. Nonprofit organizations must be qualified or registered pursuant to Chapter 617, *Florida Statutes* and be in good standing.

To receive a grant:

- A. The library's services program must be headed and administered by a librarian who has completed a library education program accredited by the American Library Association; and
- B. The library must agree to make their resources available to the public either onsite or by participation in the Florida Library Information Network (FLIN). Circulation of the library's collection to the public is not a requirement of making collections available to the public; however, the public must be allowed to enter the library to use its resources. Participation in FLIN means that the library must have a letter of agreement on file with the Division of Library and Information Services to make the library's resources available via interlibrary loan to other libraries.

For purposes of Florida's grant program, a library is defined as an organized collection of information resources with paid staff and regularly scheduled hours for being open to the public that which is legally established and is supported in whole or in part with public funds or makes its collections accessible to the public either directly or through the Florida Library Information Network (FLIN).

The following entities are eligible to apply for LSTA funds:

Public libraries. Public libraries are all libraries eligible to receive State Aid to Libraries grants and city, county or nonprofit association-funded libraries that provide free library services to their legal service areas. This category also includes state-supported institutions and Native American tribal libraries.

Unless otherwise provided for, the administrative unit of a consolidated or cooperative public library coordinates and applies for grants on behalf of member or branch libraries. Grant agreements will be made with the governing body of the public library cooperative for projects implemented by member libraries. Grant applications may be for the entire library system, an individual branch or member library, or for some other portion of the organization.

Correctional institution libraries that are not a part of the Florida Department of Corrections or privately operated correctional facilities must meet the basic eligibility requirements under sections III.A and B to receive a grant. Applications from correctional institution libraries administered by the Florida Department of Corrections must be coordinated through and administered by the central office of the Department of Corrections. Department of Children and Families libraries must also meet the basic eligibility requirements under sections III.A and B to receive a grant.

Public elementary, secondary or charter school libraries. Unless otherwise provided for, the county school board coordinates and applies for grants on behalf of public elementary, secondary and charter school libraries. Grant agreements will be made with the county school board for projects implemented by libraries in a school district. Grants may be for a single member or multiple members of a school district. To be eligible to receive a grant, the district media coordinator or contact must meet the requirements provided in III.A. When the district media coordinator or contact does not meet the eligibility requirements, grant applications may be submitted in partnership with another school district or another type of library that meets all of the eligibility requirements.

Academic libraries. Academic libraries include public (~~12~~ state universities and ~~28~~ state or community colleges) and private post-secondary education libraries. The academic support organization for the public colleges and universities is also included in this category.

Library consortium. Eligible library consortia in Florida are the five multitype library cooperatives: Northeast Florida Library Information Network, Panhandle Library Access Network, Southeast Florida Library Information Network, Southwest Florida Library Network and Tampa Bay Library Consortium.

Special libraries. Special libraries include information resource centers located at publicly supported government agencies, museums, hospitals, associations and other organizations with specialized information needs. At least 50 percent of the agency's operating funds must come from public governmental sources.

The headquarters of a library system or cooperative must submit the application. The project can be for the entire system, an individual branch or for some other portion of the organization, but only the headquarters can submit the application. For example, **if** the project will benefit one county in a multi-county cooperative; the director of the multi-county cooperative must submit the application on behalf of the county library.

Partnerships or cooperative efforts on projects may occur among all types of libraries. The library that administers the project should submit the application. For example, if the partnership includes an academic library and a public library, and the public library will administer the project, then the application should be submitted by the public library. If the academic library is to administer the project, the application should be submitted by the academic library.

IV. TIMELINE

<i><u>March [month], 2015-2016</u></i>	Announcement of application submission period in <i>Florida Administrative Register</i> and email lists
<i><u>March—April 2015 [month] – [month] 2016</u></i>	Division staff assistance and consultation available to applicants
<i><u>April 8, 2015 [date], 2016</u></i>	Applications due; Applications must be submitted online using the Florida Libraries and Grants system by midnight <u>11:59 p.m.</u> on this date
<i><u>April, 2015 [Month], 2016</u></i>	Grants Office review of applications
<i><u>April-May 2015 [month] – [month] 2016</u></i>	Division staff review of applications
<i><u>May—June 2015 [Month] 2016</u></i>	Advisory Council Meeting and Senior Manager LSTA <u>Advisory Council Application Review and Funding Decision Meeting</u>
<i><u>July, 2015 [Month] 2016</u></i>	Applicants notified whether or not they will receive a grant
<i><u>October 1, 2015 2016</u></i>	Projects may begin on October 1, but only after the grant agreement is fully executed
<i><u>April 1, 2016 2017</u></i>	Mid-year Status Reports due for FFY 2015-16 <u>2016-17</u> projects; Mid-year Status Reports must be submitted online using the Florida Libraries and Grants system by midnight on this date
<i><u>September 30, 2016 2017</u></i>	Ending date of FFY 2015-16 <u>2016-17</u> projects; All grant and matching funds must be expended by this date
<i><u>November 1, 2016 2017</u></i>	Final Status Reports due for FFY 2015-16 <u>2016-17</u> projects; Final Status Reports must be submitted online using the Florida Libraries and Grants system by midnight on this date

V. APPLICATION SUBMISSION

Application Submission. Applications must be submitted electronically using the Florida Libraries and Grants system at fllibraries.org.

If a library is not listed in the Florida Libraries and Grants system, the library may be added by contacting the Division of Library and Information Services at info@fllibraries.org or 850.245.6608.

Applications must be submitted by the organization director or a person who the director has designated with the authority to submit an application.

Number of Applications. There is no limit to the number of applications a library may submit. However, libraries must prioritize all applications submitted. Capability to implement a project and the track record of previously implemented projects will be considered as factors in awarding grants. Each library should assess its ability to implement multiple grants before submitting applications.

Number of Years of Project Funding. There is no limit on the number of years that a project may be funded. Applications are evaluated and grants awarded on a single year basis. However, a library's track record – including effectiveness of evaluation – will be taken into account for projects requesting multiple years of funding.

Grant Award Amounts. There is no minimum or maximum amount of grant funds that may be awarded. The amount of grant awards will be determined each year based on the availability of funds and the evaluation of applications according to established program priorities and criteria for evaluation of applications.

No specific dollar amounts have been set aside to fund grants in certain categories. Available grant funds will be awarded to projects that are the most competitive and that most appropriately help the state meet the goals and outcomes outlined in Florida's Library Services and Technology Act long-range plan.

VI. MATCHING FUNDS

If a project requests less than \$10,000 (\$0-\$9,999) in grant funds, no matching funds are required. All other projects must provide local matching funds that equal a minimum of one-third (1/3) of the amount of federal funds requested or awarded. A library in a county or community with rural status may request a waiver of the match requirements at the time of the grant application in compliance with Section 288.06561, *Florida Statutes*. Statewide projects coordinated by the Division may have the matching requirement waived.

Local matching funds may be in-kind or cash contributions. Expenditure of funds by partners on project-related activities may be used as match. The expenditures must be documented and reported.

Local matching funds may not be used on more than one project.

Matching funds must be related specifically to the project.

Matching fund expenditures may only be made during the project period. Funds expended before or after the project period may not be used as match.

The following may not be used as match for grants:

- Other federal grant funds.
- ~~Indirect/overhead or administrative costs. When libraries commit cash or in-kind contributions as match, there is a greater likelihood that they will be able to support the grant-funded program once grant funds end.~~
- Volunteer time. Volunteer time may only be used to show support for the project as a part of the Inputs section of the application. It may be shown as number of full-time equivalents or hours spent in support of a project.

VII. ASSISTANCE FROM THE DIVISION

Grant workshops may be offered to provide assistance with developing an LSTA application. Division staff is available to assist with development of grant applications, discuss grant ideas, assist with evaluation design, review draft applications and offer advice throughout the application development period. Drafts may be submitted online using the Florida Libraries and Grants system at fllibraries.org. A draft can be sent at any time prior to the application deadline. Drafts should be as complete as possible to allow staff to provide a more thorough and comprehensive review.

VIII. TYPES OF PROJECTS

Florida's grant program is based on the purposes of LSTA and the needs of Florida residents and libraries. It is developed from the goals and outcomes provided in Florida's Library Services and Technology Act long-range plan. Projects must clearly fit in with both the purposes and priorities of LSTA and Florida's long-range plan.

LSTA allows funds to be expended for the following types of programs and services (20 *USC* Chapter 72 Section 9141):

- Expanding 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.
- Establishing or enhancing electronic or 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.
- Providing 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.
- Enhancing efforts to recruit future professionals to the field of library and information services.
- Developing public and private partnerships with other agencies and community-based organizations.
- Targeting 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.
- Targeting 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.
- Developing library services that provide all users access to information through local, state, regional, national and international collaborations and networks.
- Carrying out other activities consistent with the purposes of this act set forth in 20 *USC* Chapter 72 Section 9121, which are specified below, removing duplication from Section 9141:
 - Promoting continuous improvement in library services in all types of libraries in order to better serve the people of the United States.
 - Facilitating access to resources in all types of libraries for the purpose of cultivating an educated and informed citizenry.
 - Encouraging resource sharing among all types of libraries for the purpose of achieving economical and efficient delivery of library services to the public.

- Promoting literacy, education and lifelong learning and to enhancing and expanding the services and resources provided by libraries, including those services and resources relating to workforce development, 21st century skills and digital literacy skills.
- Ensuring the preservation of knowledge and library collections in all formats and enabling libraries to serve their communities during disasters.

In designing projects, applicants are encouraged to explore innovative and creative ways to deliver services to their identified population and, when applicable, to establish and nurture partnerships and use technology to meet the needs of users.

The Division may initiate statewide projects to address special needs and opportunities that implement objectives and activities of the long-range plan. When applicable, eligible grant recipients will be notified of application availability, program information and guidelines and program timelines.

IX. FUNDING DECISION PROCESS

The application funding decision process is accomplished in ~~five~~ four phases:

1. ***Grants Staff Review***. Upon receipt by the Division, Grants staff reviews applications for eligibility and completeness. If an application is found to be incomplete, the applicant will be notified in writing of the identified deficiencies and will be given an opportunity to submit information or documentation to render the application complete. If the identified deficiencies are not corrected by the established deadline, the application will be declared ineligible. When applications are declared ineligible, applicants will be notified of their ineligibility.

Grant applications are placed in one of two groups for review and funding recommendation:

- **Statewide**. These applications are for projects that directly support statewide programs or services.
 - **Competitive**. These applications do not support a statewide program or service.
2. ***Division Staff Review Meeting***. After completion of the initial review, applications are assigned to a team of three Division staff members for review and evaluation using ~~evaluation~~ criteria specified in these guidelines. Division staff assign each application a designation of high, medium, low or no funding priority. The applications and Division staff evaluations are made available to LSTA Advisory Council members.
 3. ***LSTA Advisory Council Review Meeting***. ~~The application and staff evaluations are made available to LSTA Advisory Council members. The advisory council reviews and makes funding recommendations on all grant applications submitted by organizations in terms of high, medium, low or no priority for funding. The council makes recommendations of~~

funding amounts totaling up to the amount of grant authority allocated by the Florida Legislature in the General Appropriations Act.

Funding guidelines for each category:

- **Statewide.** Funding recommendations cannot be \$0, however recommendations do not have to be for full funding. The council can also recommend revisions or changes to applications as a condition for funding. Statewide programs include the regionally administered training programs from the multitype library cooperatives. The council cannot recommend more funding than is requested.
- **Competitive.** Funding recommendations can be from \$0 up to the full amount of the funding request. The council can also recommend revisions or changes to applications as a condition for funding. The council cannot recommend more funding than is requested.

~~The Council considers three issues when judging an application: (1) the need for the project; (2) the benefits for the target audience; and (3) the quality of planning for the project as demonstrated by the application. The following questions are addressed as council members assess the applications:~~

When making funding recommendations, the council reviews applications based on:

- The need for the project;
- The benefits for the target audience; and
- The quality of planning for the project as demonstrated by the application.

In addition, the following questions are addressed as the applications are assessed:

- Does the project address the goals and objectives of Florida's Library Services and Technology Act long-range plan?
- Has the need for the project been clearly and persuasively established?
- Does the application reflect thoughtful planning to help ensure a successful project?
- Are the outcomes or accomplishments of the project clear and achievable? Will they result in an improvement or change that can be evaluated, in library services or in the lives of people targeted by the project?
- Does the project reflect support from partnerships?
- Is the plan of action or work plan clearly stated, appropriate and reasonable?
- Are the budget and staffing appropriate, given the scope and anticipated outcomes of the project?

~~The LSTA Advisory Council advises the Division on policy matters related to the state plan and participates in the LSTA application review process. Appointed by the Secretary of State, the Council is composed of library supporters and librarians from around Florida who are interested in libraries from a variety of vantage points.~~

~~**Senior Manager Review.** Using Council recommendations and staff evaluations, senior managers of the Division make funding recommendations for projects.~~

During the LSTA Advisory Council review meeting, applicants will be given an opportunity to answer questions asked by members.

4. **Secretary of State Review.** The Secretary of State has the final authority to approve or deny all grant applications and to award grants. Such approval or denial is the final agency action for purposes of requesting a hearing under the Administrative Procedures Act, Chapter 120, *Florida Statutes*.

Upon completion of the application review process, applicants are notified whether or not their application was approved for funding. Results of the evaluation of grant applications are available upon request after the review process is complete.

X. APPLICATION EVALUATION

Project applications will be evaluated ~~based~~ by a team of three Division staff on how clear, complete and appropriate they are and how reasonable the information provided in each section is. They will also be evaluated on how well and to what extent they address the evaluation criteria.

An application can receive evaluation points as outlined below:

	Points
Context	30
Resources	10
Solution	30
Evaluation	15
General	15
Total	100
Internet Safety Education (Public Libraries only)	10
Developmental Comments	0

EVALUATION CRITERIA

Context

0 to 30 points

Reviewers will evaluate whether the application clearly presents the following components:

- A description of the target population. The description includes information on the characteristics, statistics, relative comparisons or other demographics of the group to be served. It should include information such as education levels, access to resources, community situations and unemployment, as applicable to the target population.
- A description of the unmet need of the target population and a description of how the need was determined.

- A description of what conditions have prevented the applicant or other organizations from meeting the unmet need.
- A need that builds a case for the project.
- Information, statistics and/or anecdotal examples that document facts, support arguments, show interrelationships and demonstrate participation and support for the project. This information should be substantiated.
- How the project fits within the applicant's mission and goals.

Resources

0 to 10 points

Reviewers will evaluate:

- Whether the resources described for the project are appropriate and sufficient to carry out the project.
- Whether the applicant has the capability, including personnel, facilities and organization, to implement the proposed project.
- The applicant's administrative performance on current or previous grants (e.g., timeliness of report submission, compliance or other administrative activities).

Solution

0 to 30 points

Reviewers will evaluate whether the application clearly presents the following components:

- A solution that will address the identified need of the targeted population.
- A logical and appropriate process of implementation.
- A detailed description of the activities to be performed from the beginning to the end of the project.
- Evidence that the project is feasible and achievable within the project period.
- An adequate and appropriate publicity plan for the project.
- A realistic budget for the project. All grant and matching funds must be related to the project activities being performed.
- A budget that shows how all grant and matching amounts were calculated.

Evaluation

0 to 15 points

Reviewers will evaluate the appropriateness of the evaluation tools, methods and data being collected for outcome evaluation.

For continuing projects, effectiveness of the evaluation will be assessed.

General

0 to 15 points

Reviewers will evaluate whether the application includes:

- Sufficient detail to understand the organization and the problem, need or opportunity as well as how the proposed project will be implemented.

- A strong relationship between the need and the proposed solution.
- Substantiation of all aspects of the project described.
- Suitability of the project in terms of the need.

Reviewers will also evaluate whether or not the project is appropriate for the type of grant assistance requested.

Internet Safety

0 or 10 points

Either 0 or 10 points will be awarded to each applicant. All of the criteria must be met in order to receive the 10 additional points.

A public library shall receive 10 additional points, in accordance with Chapter 257.13 (3) *Florida Statutes*, if:

(1) It has adopted an interactive and age-appropriate Internet safety education program which has been endorsed by a government-sanctioned law enforcement agency or other reputable public safety advocacy organization and is designed for children and adults. The purpose of the Internet Safety program is to promote the use of prudent online behavior and broaden awareness of users concerning online predators; and

(2) The annual number of persons who complete the library’s program equals one percent or more of the total number of the library’s registered borrowers from the preceding year.

The number of persons who complete the Internet safety education program and the number of registered borrowers of each library shall be reported in the library’s Annual Statistical Report Form for Florida’s Public Libraries. Participants completing the program as a result of strategic partnerships or collaboration between the library and other entities may be included in the annual report. A library that has not submitted an Annual Statistical Report should contact Division staff prior to the application deadline.

The number of persons who complete the Internet safety education program and the number of registered borrowers of each library shall be reported in the library’s Annual Statistical Report Form for Florida’s Public Libraries. Participants completing the program as a result of strategic partnerships or collaboration between the library and other entities may be included in the annual report. A library that has not submitted an Annual Statistical Report should contact Division staff prior to the application deadline.

Developmental Comments

no score

This section does not have an evaluation score. It is for additional contextual comments made by Division staff about the project and the library organization as applicable to this project.

Funding Priority Recommendation

In addition to evaluation scores, applications will be given funding priority rankings. Division staff consider the need for the project, the benefits for the target audience and the quality of planning for the project as demonstrated by the application. Applications can receive a designation of high, medium, low or no funding priority.

XI. GRANT ADMINISTRATION

Accessible Programs and Services. Grant recipients are required to make their services and programs accessible in compliance with the Americans with Disabilities Act of 1990. For more information on these requirements, see ada.gov.

Recipients of LSTA grant funds are also required to comply with Title VI of the 1964 Civil Rights Act. Title VI and its implementing regulations provide that no person shall be subjected to discrimination on the basis of race, color or national origin under any program or activity. This includes English language for persons with Limited English Proficiency (LEP), which can provide a barrier to accessing important benefits or services, understanding and exercising important rights, complying with applicable responsibilities or understanding other information provided by federally funded programs and activities. Grant recipients must have appropriate and reasonable language assistance measures designed to address the needs of persons with limited English proficiency. For additional guidance on these requirements, see lep.gov/.

Audit. An audit that is in compliance with requirements of the federal Single Audit Act, 2 CFR 2 Subpart F – Audit Requirements and Section 215.97, *Florida Statutes* must be submitted following the end of the grant period.

Catalog of Federal Domestic Assistance (CFDA) Number. The LSTA program is funded from the Institute of Museum and Library Services. The CFDA number for LSTA grants is 45.310.

Data Universal Number System (DUNS) Number. The DUNS number is a nine digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. It is a tool the federal government uses to track how federal money is distributed and is required for all organizations that receive federal funding. This number should be for your organization’s governing body, which is the same organization that the Division signs a grant agreement with. Examples include a county commission, city council or governing board. Many organizations already have a DUNS number. If your organization does not have a DUNS number, one may be obtained free of charge from D&B by telephone at 866.705.5711 or on the Internet at fedgov.dnb.com/webform.

Grant Agreement. A grant agreement must be signed by both the grant recipient’s governing body and the Department of State, Division of Library and Information Services before any project or matching funds can be obligated or expended. The agreement, incorporated herein by reference, will be sent to the library after the grant award notification. The grant agreement will include a scope of work and project deliverables. The scope of work and project deliverables will have been agreed upon by the grant recipient and the Division before the agreement is sent to the library.

Grant Payments. Grant awards will be made in five payments; ~~determined by the Division.~~

- Payment number one (25% of grant award) requires no deliverables; it is an advance payment. For planning purposes, the Division will request the payment ~~shortly~~ immediately after the agreement is executed.
- Payment number two (25% of the grant award) will require proof that the applicable deliverable(s) have been provided. For project planning purposes, the Division will request the payment in December. Please plan deliverables that can be achieved prior to payment request, using performance measures that will show the deliverables have been met.

- Payment number three (25% of the grant award) will require proof that the applicable deliverable(s) have been provided. For project planning purposes, the Division will request the payment in February. Please plan deliverables that can be achieved prior to payment request, using performance measures that will show the deliverables have been met.
- Payment number four (20% of the grant award) will require proof that the applicable deliverable(s) have been provided. For project planning purposes, the Division will request the payment in April. Please plan deliverables that can be achieved prior to payment request, using performance measures that will show the deliverables have been met.
- Payment number five (5% of the grant award) will require proof that the applicable deliverable(s) have been provided. For project planning purposes, the Division will request the payment in June. Please plan deliverables that can be achieved prior to payment request, using performance measures that will show the deliverables have been met.

Payment request forms and supporting documentation must be submitted online using the Florida Libraries and Grants system at fllibraries.org. The Grant Payment Request Form is available on the Division's website at info.florida.gov/services-for-libraries/grants/lsta/guidelines-applications-and-forms.

Noncompliance. If the grant recipient is in noncompliance with any term(s) of the grant agreement or any other grant agreement with the Division of Library and Information Services, the Division of Historical Resources or the Division of Cultural Affairs, the Division may withhold grant payments until the organization and/or governing body comes into compliance. Violation of a grant program requirement, including but not limited to failure to submit grant reports and other grant documents, submission of incomplete grant reports or other grant documents or violation of other contractual requirements shall constitute a basis for the Division to place the recipient and/or its governing body in noncompliance status with the Department of State.

Notification of Grant Award. The Notification of Grant Award is used to advise applicants of the amount of their grant award for the applicable fiscal year. On the notification, the project to be funded is listed along with the award amount, Catalog of Federal Domestic Assistance (CFDA) number, and any special project-related comments or instructions. This form should be maintained as a part of the official project files.

If a project is funded, the applicant must submit a General Status Report that addresses any conditions or requirements listed in the Notification of Grant Award prior to signing a grant agreement with the Department of State, Division of Library and Information Services.

Project Period. Project activities and grant and matching expenditures may begin only after an agreement has been signed by both the grant recipient's governing body and the Florida Department of State, Division of Library and Information Services. The project period begins on October 1 and ends one year later on September 30 of the following year. Project activities and expenditures may begin only after an agreement has been signed by both the

~~grant recipient's governing body and the Florida Department of State, Division of Library and Information Services.~~ A library may not obligate grant or matching funds before the execution date of the grant agreement. All project funds must be paid out by the project ending date, September 30.

For projects continuing with federal funds for a subsequent year, if the obligation of funds is necessary for the timely performance of the grant activities (for example, contracting with speakers or trainers), subrecipients may ask permission to obligate funds prior to the grant agreement being signed. This is allowed per Section 200.458, Code of Federal Regulations:

200.458 Pre-award costs. Pre-award costs are those incurred prior to the effective date of the Federal award directly pursuant to the negotiation and in anticipation of the Federal award where such costs are necessary for efficient and timely performance of the scope of work. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the Federal award and only with the written approval of the Federal awarding agency.

Record Retention. Financial records, supporting documents, statistical records and all other records, including electronic storage media pertinent to the project, shall be retained ~~until January 1, 2022~~ through June 30, 2024. If any litigation or audit is initiated or claim made, the records shall be retained until ~~January 1, 2022~~ June 30, 2024 or five fiscal years after the litigation, audit or claim has been completed and all issues arising from it have been resolved, whichever is later.

Reports

Deliverable Reporting. Deliverable reporting and performance metrics will be determined on a case-by-case basis. Once the project deliverables, performance measures and metrics have been agreed upon by both the grant recipient and the Division, the reporting method will be input into the Florida Accountability Contract Tracking System. Payment requests will be made using the Payment Request Form. Forms must be submitted online using the Florida Libraries and Grants system at fllibraries.org.

Mid-Year Status Report. A mid-year status report for project accomplishments, expenditures and use of evaluative data is due April 1. This report must be submitted online using the Florida Libraries and Grants system at fllibraries.org.

General Status Report. Prior to the start of the project, or at any time during the grant cycle, the Division or the organization may request to make changes to the project. Changes can be made to the outcomes, scope of work, equipment to be purchased, key personnel, expenditures or deliverables. Request for permission to revise the project is done by submitting a General Status Report on the Florida Libraries and Grants system.

Changes within a budget category that accumulate to less than ten percent (10%) of the award may be made without submitting a General Status Report. Changes within a budget category that are more than ten percent (10%) of the award require a General Status Report. Moving funds from one budget category to another requires submission of a General Status Report.

Approval must be obtained from the Division before the changes are implemented. Approval will be granted for changes that are consistent with the intent of the approved project. Project revisions must be submitted online using the General Status Report in the Florida Libraries and Grants system at fllibraries.org.

Final Status Report. A final report for the project is due November 1. This report provides accomplishments, an evaluation of the impact of the project and a financial accounting of expenditures. ~~This report must be submitted online using the Florida Libraries and Grants system at fllibraries.org.~~ The Final Status Report (Form DLIS/LSTA02) is available on the Division's website at info.florida.gov/services-for-libraries/grants/lsta/guidelines-applications-and-forms.

Use of Grant Funds. Federal grants, such as the LSTA grants, have limitations on what items and services may be purchased using grant funds. Some items and services are "allowable costs," meaning that they may be purchased using grant funds, while others are not. Examples of some of the more common uses of grant funds and whether they are allowable or not may be found at the Division's website at info.florida.gov/services-for-libraries/grants/lsta/. ~~More detailed information can be found in 2 CFR 2 §200.400 through 200.475 Cost Principles, at the government website www.ecfr.gov.~~

Expenditures shall be in compliance with the state and federal guidelines for allowable project costs. State guidelines for allowable costs are outlined in the Department of Financial Services' *Reference Guide for State Expenditures*, which is available online at myfloridacfo.com/aadir/reference_guide. Federal guidelines for allowable costs can be found at www.ecfr.gov in 2 CFR 2 Subpart E – Cost Principles.

In general:

Grant funds are designed ~~principally~~ for direct support of services and programs for the target audience.

Grant funds may be used for evaluation related costs.

Grant funds may be used to assist in making technology and information resources available for persons with disabilities.

If grant or matching funds are used for travel expenses, they must be paid in accordance to the provisions of Section 112.061, *Florida Statutes*.

Grant funds may be used for indirect costs. There are four options for indirect costs in the LSTA application:

1. Use a current indirect cost rate already negotiated with a federal agency (2 CFR 2 §200.414(e));
2. Use an indirect cost rate proposed to a federal agency but not yet approved (2 CFR 2 §200.414(e));
3. Use a rate not to exceed 10% of the total direct costs if your organization has never had a federally negotiated indirect cost rate and you are not subject to other requirements (e.g., for local governments) (2 CFR 2 §200.414(f)); or
4. Do not include any indirect costs.

Grant funds may not be used for:

- ~~1. Indirect/overhead costs. This is an effort to ensure that grant funds are used to support services and not to pay for rental of space, utilities and other administrative costs. In this way, grant funded projects achieve a greater direct benefit for the people served.~~
1. Construction. Funds may not be used to build, remodel or expand library facilities. However, they may be used to retrofit a building to accommodate technologies (e.g., wiring).
2. Audits. If the grant recipient's governing entity has received less than \$750,000 in federal funds, LSTA funds may not be used to cover audit costs.
3. Food. Although food may be served at a program being provided with grant funds, the food may not be purchased with grant funds.

CHAPTER 257, *Florida Statutes*

PUBLIC LIBRARIES AND STATE ARCHIVES

257.12 Division of Library and Information Services authorized to accept and expend federal funds. –

(1) The Division of Library and Information Services of the Department of State is designated as the state library administrative agency authorized to accept, receive, administer, and expend any moneys, materials, or any other aid granted, appropriated, or made available by the United States or any of its agencies for the purpose of giving aid to libraries and providing educational library service in the state.

(2) The division is authorized to file any accounts required by federal law or regulation with reference to receiving and administering all such moneys, materials, and other aid for said purposes; provided, however, that the acceptance of such moneys, materials, and other aid shall not deprive the state from complete control and supervision of its library.

(3) All public libraries are encouraged to adopt an Internet safety education program, including the implementation of a computer-based educational program, which has been endorsed by a government-sanctioned law enforcement agency or other reputable public safety advocacy organization and is designed for children and adults. The purpose of the Internet safety education program is to promote the use of prudent online department and broaden awareness of online predators. The program must be interactive and age-appropriate. Each library shall annually report to the division the annual number of program participants who complete the Internet safety education program. By April 1, 2010, the division shall adopt rules for rewarding those libraries in the program grant application process which have had 1 percent or more of their annual number of program participants, based on the total number of registered borrowers from the preceding year, complete the Internet safety education program adopted by the library. Program participants completing the program as a result of strategic partnerships or collaboration between the library and other entities shall be integrated into the library's annual report. The division shall adopt rules to allocate 10 percent of the total points available in the library services and technology grant application evaluation process to public libraries that are in compliance with this section, beginning with the grant application cycle for the 2011-2012 fiscal year.

History.—ss. 1, 2, ch. 26976, 1951; s. 4, ch. 63-39; ss. 10, 35, ch. 69-106; s. 21, ch. 69-353; s. 18, ch. 86-163; s. 4, ch. 2005-207, s. 1, ch. 2009-194.

257.14 Division of Library and Information Services; rules. – The Division of Library and Information Services has authority to adopt rules pursuant to ss. 120.536(1) and 120.54 to implement the provisions of this chapter.

History.—s. 2, ch. 61-402; s. 4, ch. 63-39; ss. 10, 35, ch. 69-106; s. 21, ch. 69-353; s. 3, ch. 83-24; s. 19, ch. 86-163; s. 46, ch. 98-200.

257.15 Division of Library and Information Services; standards. – The Division of Library and Information Services shall establish reasonable and pertinent operating standards under which libraries will be eligible to receive state moneys.

History.—s. 3, ch. 61-402; s. 4, ch. 63-39; ss. 10, 35, ch. 69-106; s. 21, ch. 69-353; s. 2, ch. 72-353; s. 3, ch. 83-24; s. 20, ch. 86-163.

Florida Administrative Code

1B-2.011 Library Grant Programs.

(1) This rule provides procedures for library grant programs administered by the Division of Library and Information Services (Division). Each program shall be governed by guidelines which contain information on eligibility requirements, application review procedures, evaluation and funding criteria, grant administration procedures, if applicable, and application forms. All grant awards shall be subject to final approval by the Secretary of State.

(2) Applicants for grants shall meet the eligibility and application requirements as set forth in the following guidelines for each grant program:

(a) The State Aid to Libraries Grant Guidelines,

<http://www.flrules.org/Gateway/reference.asp?No=Ref-03264>, effective ~~4-6-15~~ x-2016, which contain guidelines and instructions; Grant Agreement (Form DLIS/SA02), effective ~~4-6-15~~ x-2016; Certification of Credentials – Single Library Administrative Head (Form DLIS/SA01), effective 4-6-15.

(b) The Library Construction Grant Guidelines and Application,

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04174>, effective ~~4-6-15~~ x-2016; which contain instructions, grant application (Form DLIS/PLC01), effective ~~4-6-15~~ x-2016; Payment Request #1 (Form DLIS/PLC02) effective ~~4-6-15~~ x-2016; Payment Request #2 (Form DLIS/PLC03) effective ~~4-6-15~~ x-2016; Payment Request #3 (Form DLIS/PLC04) effective 4-6-15 x-2016; Payment Request #4 (Form DLIS/PLC05) effective ~~4-6-15~~ x-2016; Closeout Report (Form DLIS/PLC06) effective ~~4-6-15~~ x-2016; Progress Report (Form DLIS/PLC07) effective ~~4-6-15~~ x-2016; and Grant Agreement (Form DLIS/PLC08), <http://www.flrules.org/Gateway/reference.asp?No=Ref-04177>, effective ~~4-6-15~~ x-2016.

(c) The Library Cooperative Grant Guidelines and Application,

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04169>, effective ~~4-6-15~~ x-2016; which contain instructions and grant application (Form DLIS/LCG01), effective ~~4-6-15~~ x-2016; Mid-Year Report (Form DLIS/LCG02) effective ~~4-6-15~~ x-2016; Annual Report (Form DLIS/LCG03) effective ~~4-6-15~~ x-2016; Annual Statistical Report Form for Multitype Library Cooperatives (Form DLIS/LCG04), effective ~~4-6-15~~ x-2016; Grant Agreement (Form DLIS/LCG05), <http://www.flrules.org/Gateway/reference.asp?No=Ref-04170>, effective ~~4-6-15~~ x-2016; and the FLIN Manual, effective 7-8-14.

(d) The Library Services and Technology Act Grant Guidelines,

<http://www.flrules.org/Gateway/reference.asp?No=Ref-04175>, effective ~~4-6-15~~ x-2016; which contain instructions, ~~and~~ Grant Agreement (Form DLIS/LSTA01) and Final Status Report (Form DLIS/LSTA02), <http://www.flrules.org/Gateway/reference.asp?No=Ref-04176>, effective ~~4-6-15~~ x-2016.

(e) The Community Libraries in Caring Program Application,

<http://www.flrules.org/Gateway/reference.asp?No=Ref-01122>, effective 4-10-12; which contains instructions and grant application (Form DLIS/CLIC01), effective 11-16-04; Annual Report

(Form DLIS/CLIC02), effective 11-16-04; and Grant Agreement (Form DLIS/CLIC03), <http://www.flrules.org/Gateway/reference.asp?No=Ref-01123>, effective 4-10-12.

(3) Guidelines and forms in this rule are incorporated by reference and may be obtained from the Director of the Division, Florida Department of State, Division of Library and Information Services, R.A. Gray Building, 500 South Bronough Street, Tallahassee, Florida 32399-0250.

(4) The Division of Library and Information Services will waive the financial matching requirements on grants for rural communities that have been designated in accordance with Sections 288.0656 and 288.06561, F.S. Eligible communities applying for Library Services and Technology Act grants and Library Construction grants must request waiver of matching requirements at the time of grant application.

(5) This section supersedes Chapters 1B-3 and 1B-5, F.A.C.

Rulemaking Authority 257.14, 257.191, 257.192, 257.24, 257.41(2) FS. Law Implemented 257.12, 257.15, 257.16, 257.17, 257.171, 257.172, 257.18, 257.191, 257.192, 257.195, 257.21, 257.22, 257.23, 257.24, 257.25, 257.40, 257.41, 257.42 FS. History—New 1-25-93, Amended 7-17-96, 4-1-98, 2-14-99, 4-4-00, 12-18-00, 11-20-01, 3-20-02, 1-9-03, 12-28-03, 11-16-04, 2-21-06, 2-21-07, 1-24-08, 4-1-10, 4-21-10, 4-10-12, 12-25-13, 7-8-14, 4-6-15, ~~Amended 4-6-15-xx-xx-xx.~~