



Library Services and Technology Act (LSTA)
Grant Guide

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LSTA OVERVIEW

One of the many ways the California State Library (State Library) supports California's libraries is by administering federal and state grant funding. The State Library receives federal grant funding from the Institute of Museum and Library Services (IMLS) under the provisions of the Library Services and Technology Act (LSTA) which is administered in California by the State Librarian.

Purposes and Priorities of the Library Services and Technology Act (LSTA)

The purposes and priorities outlined in the Library Services and Technology Act (LSTA) are reflected in the Five-Year Plans submitted by each State Library Administrative Agency (SLAA) and in the over 1,500 annual projects that are supported through the Grants to States program.

Purpose of LSTA (20 U.S.C. § 9121)

1. Enhance coordination among Federal programs that relate to library, education, and information services;
2. Promote continuous improvement in library services in all types of libraries in order to better serve the people of the United States;
3. Facilitate access to resources in all types of libraries for the purpose of cultivating an educated and informed citizenry;
4. Encourage resource sharing among all types of libraries for the purpose of achieving economical and efficient delivery of library services to the public;
5. Promote literacy, education, and lifelong learning, including by building learning partnerships with school libraries in our Nation's schools, including tribal schools, and developing resources, capabilities, and programs in support of State, tribal, and local efforts to offer a well-rounded educational experience to all students;
6. Enable libraries to develop services that meet the needs of communities throughout the Nation, including people of diverse geographic, cultural, and socioeconomic backgrounds, individuals with disabilities, residents of rural and urban areas, Native Americans, military families, veterans, and caregivers;
7. Enable libraries to serve as anchor institutions to support community revitalization through enhancing and expanding the services and resources provided by libraries, including those services and resources relating to workforce development, economic and business development, critical thinking skills, health information, digital literacy skills, financial literacy and other types of literacy skills, and new and emerging technology;
8. Enhance the skills of the current library workforce and recruit future professionals, including those from diverse and underrepresented backgrounds, to the field of library and information services;
9. Ensure the preservation of knowledge and library collections in all formats and enable libraries to serve their communities during disasters;
10. Enhance the role of libraries within the information infrastructure of the United States in order to support research, education, and innovation;

11. Promote library services that provide users with access to information through national, State, local, regional, and international collaborations and networks; and
12. Encourage, support, and disseminate model programs of library and museum collaboration.

Purpose of Grants to States (20 U.S.C. § 9141)

1. Expand services for learning and access to information and educational resources in a variety of formats (including new and emerging technology), in all types of libraries, for individuals of all ages in order to support such individuals' needs for education, lifelong learning, workforce development, economic and business development, health information, critical thinking skills, digital literacy skills, and financial literacy and other types of literacy skills;
2. Establish or enhance electronic and other linkages and improved coordination among and between libraries and entities, as described in 20 U.S.C. § 9134(b)(6), 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, including those from diverse and underrepresented backgrounds, to the field of library and information services;
4. Develop public and private partnerships with other agencies, tribes, and community-based organizations;
5. Target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills;
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 20 U.S.C. § 9121, as described in the State Library Administrative Agency's plan.

Five-Year Plan for Grantmaking

The Library Services and Technology Act requires each SLAA to submit a plan that details library services goals for a five-year period. These goals are based on identified needs and reflect the purposes and priorities outlined in the Act. All projects supported with LSTA funds in California must adhere to the California State Library's current [LSTA Five-Year Plan for Grantmaking](#).

APPLYING FOR AN LSTA GRANT FROM THE CALIFORNIA STATE LIBRARY

LSTA Eligibility

Applicants should consult the Application Instructions and Guidelines document for the opportunity to which they are applying for funds for eligibility information specific to that opportunity.

Each funding opportunity has specific eligibility requirements. In addition to the information below, applicants should refer to the specific Application Instructions and Guidelines document associated with the opportunity for which they are applying.

Under the Library Services and Technology Act, the State Library has discretion over the eligibility of applicants, the qualification of projects, and the award of funds.

Typically, to be eligible to apply for LSTA funding from the State Library, an entity should be a "library." Library consortia may also be eligible for some opportunities.

The general guidelines are as follows:

- The term "library" includes:
 - A public library;
 - An elementary or secondary school library;
 - An academic library;
 - A research library, which for the purposes of this subtitle means a library that makes publicly available library services and materials suitable for scholarly research and not otherwise available to the public; and is not an integral part of an institution of higher education.
- A library should meet the following eligibility standards:
 - Have an explicit, written mission statement and service objectives
 - Have a fixed location in California
 - Have established hours of service
 - Have an organized collection of information and materials accessible for use by its primary clientele
 - Have a designated, onsite, paid staff for library services. At least one staff person shall have a master's degree in library or information science or a California library media teacher credential issued by the Commission on Teacher Credentialing. (Equivalent graduate education or demonstrated professional experience may be substituted for this requirement.)
 - Have an established funding base. (The local board of governance or the appropriate administrative authority shall agree for each academic library, public library, school library and special library, not to reduce funding for library services as a result of receiving a grant.)

The term "library consortium" means any local, statewide, regional, interstate or international cooperative association of library entities which 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 library entities.

Applicant organizations must have a current [Unique Entity Identifier](#) in order to be eligible to apply for LSTA funding.

Individuals are NOT eligible to apply for LSTA grants.

How to Apply

The State Library recommends that potential applicants:

1. Read the Application Instructions and Guidelines document thoroughly. The document will be available on the funding opportunity webpage.
2. Confirm they are eligible to apply and consider whether the opportunity is aligned with the project they have in mind.
3. Participate in opportunities to learn about the grant program, e.g., any information sessions presented by State Library staff.
4. Reach out to the State Library's LSTA team at LSTAgrants@library.ca.gov for questions during the application process, asking questions well ahead of the deadline, when possible.

Federal Restrictions on the Use of LSTA Funds

The Code of Federal Regulations (CFR) specifies what expenditures and activities LSTA funding can and cannot support. LSTA awardees are cautioned that they must abide by all regulations when implementing their projects and in using grant funds. Applicants and awardees should contact the State Library at LSTAgrants@library.ca.gov in cases of ambiguity or uncertainty, or with any questions about identifying allowable cost items under Federal procedures.

Unallowable Costs and Restrictions

The following list includes common unallowable costs and restrictions on the use of federal funds. This summary is provided for convenience. It is not exhaustive, and applicants and awardees should not rely solely on the information provided here when developing project budgets, implementing projects, and using grant funds.

Advertising and public relations

Advertising costs are allowable only when incurred for the recruitment of personnel, the procurement of goods and services, the disposal of scrap or surplus materials, and other specific purposes necessary to meet the requirements of the Federal award. Public relations costs are allowable when incurred to communicate with the public and press pertaining to specific activities or accomplishments that result from performance of the Federal award. Costs of advertising and public relations at conventions, meetings or other events, including displays, demonstrations, exhibits, meeting rooms, hospitality suites, and special facilities used in conjunction with shows and special events; and salaries of employees engaged in setting up and displaying exhibits, making demonstrations, and providing briefings are unallowable. Costs of advertising and public relations designed solely to promote the non-Federal entity are unallowable. See electronic code of federal regulations: [Advertising and Public Relations](#)

Advisory councils

Costs incurred by advisory councils or committees are unallowable unless authorized by statute, the Federal awarding agency or as an indirect cost where allocable to Federal awards. See § 200.444 General costs of government, applicable to states, local governments and Indian tribes. See electronic code of federal regulations: [Advisory Councils](#)

Advocacy, lobbying, and associated costs

The cost of certain influencing activities associated with obtaining grants, contracts, cooperative agreements, or loans, is unallowable. Costs of membership in organizations substantially engaged in lobbying are unallowable. See electronic code of federal regulations: [Lobbying](#)

Alcoholic beverages

Costs of alcoholic beverages are unallowable. Code of Federal Regulations: [Alcoholic Beverages](#)

Backfill and salaries or benefits for individuals not directly contributing to the grant-funded project

Costs not integral or directly contributing to the project are not allowable as [direct costs](#). See electronic code of federal regulations: [Direct Costs](#)

Bad debts or other financial costs

Bad debts (debts which have been determined to be uncollectable), including losses (whether actual or estimated) arising from uncollectable accounts and other claims, are unallowable. Related collection costs, and related legal costs, arising from such debts after they have been determined to be uncollectable are also unallowable. Code of Federal Regulations: [Bad Debts](#).

Building, construction, renovation, and permanent installation and/or affixation costs

Building, construction, or renovation costs are unallowable. Permanent installations and affixations are unallowable. See electronic code of federal regulations: [Equipment and Other Capital Expenditures](#), [Rearrangement and Reconversion Costs](#), and [Maintenance and Repair Costs](#)

Collection development purchases not integral to the project and not aligned with programming

Collection development purchases not integral to the project and not aligned with programming are unallowable.

Contributions, donations, honorariums, stipends

Contributions, donations, honorariums, stipends are not allowable. *Wages, salaries, reimbursements, payment for work done, and fees charged by speakers are allowable.*

Costs that are NOT integral to the project, reasonable, and/or necessary

For costs to be considered allowable, they must be integral to the project, reasonable and necessary.

Devices capable of connecting to the internet

Devices capable of connecting to the internet are unallowable for awardees that are not [Children's Internet Protection Act \(CIPA\)](#) compliant.

Entertainment and performances

Costs of entertainment, including amusement, diversion, and social activities, and any costs directly associated with those, such as tickets to shows or sports events, meals, lodging, rentals, transportation, and gratuities are unallowable. See electronic code of federal regulations: [Entertainment](#)

Equipment not approved by IMLS

All proposed equipment purchases (single item or unit valued at \$5,000 or more) must receive IMLS approval in order to be considered allowable.

Fines and penalties

Costs resulting from non-Federal entity violations of, alleged violations of, or failure to comply with, Federal, state, tribal, local or foreign laws and regulations are unallowable, except when incurred as a result of compliance with specific provisions of the Federal award, or with prior written approval of the Federal awarding agency. See electronic code of federal regulations: [Fines and Penalties](#)

Food and refreshments

Food and refreshments are unallowable unless an approved project activity requires a working meal. Applicants should consult the State Library with questions.

Fundraising

Costs of organized fund-raising, including financial campaigns, solicitation of gifts and bequests, and similar expenses incurred to raise capital or to obtain contributions, are unallowable. See electronic code of federal regulations: [Fundraising and Investment Management Costs](#)

General government expenses

The general costs of government, including services normally provided to the general public, such as fire and police, are unallowable. See electronic code of federal regulations: [General Government Expenses](#)

Gifts, honorarium, stipends, awards, or other incentives

Contributions and donations, including cash, property, and services, that use grant funds and are made by grant recipients to others, regardless of the recipient, are unallowable. See electronic code of federal regulations: [Contributions and Donations](#)

Income from project

Project income, e.g., fees charged for the use of library space in the context of a grant project, or to recover out of pocket project-related costs, or to create products such as manuals, or for other expenditures directly related to and used for the purposes of the grant and accrued under the conditions of the grant award, are allowable. See electronic code of federal regulations: [Program Income](#) for further information.

Awardees must contact their project support team if they anticipate their project generating income.

Losses on other grants (e.g. using one grant to cover excess costs incurred for another grant-funded project)

Any excess of costs over income under any other award or contract of any nature is unallowable. This includes, but is not limited to, the non-Federal entity's contributed portion by reason of cost-sharing agreements or any under-recoveries through negotiation of flat amounts for indirect (F&A) costs. Also, any excess of costs over authorized funding levels transferred from any award or contract to another award or contract is unallowable. All losses are not allowable indirect (F&A) costs and are required to be included in the appropriate indirect cost rate base for allocation of indirect costs. See electronic code of federal regulations: [Losses on Other Awards or Contracts](#)

Memberships, subscriptions, and professional activities

Costs of the grant recipient's memberships in business, technical, and professional organizations are allowable. (NOTE: The State Library's policy is that use of LSTA funds for personal memberships in organizations is not permitted.) Subscriptions to business, professional, and technical periodicals are allowable. See electronic code of federal regulations: [Memberships, Subscriptions, and Professional Activities](#)

Out-of-state travel

The State Library's policy on out-of-state travel is that it is generally not allowed. If a proposed project will include out-of-state travel (e.g., attendance at an out-of-state conference), applicants should consult the State Library before submitting their application in order to determine whether State Library approval is possible.

Per diems

Travel rates, accommodations, and meals are to be reimbursed at actual cost value, not to exceed the organizations approved cost rate or the federal rate at time of travel. Per diem flat rates are not allowable. For example, if the awardee organization has a per diem dinner reimbursement rate of \$23 and the traveler spent \$19 on dinner, the awardee may utilize \$19 in LSTA funding toward the meal cost, not \$23.

Premiums, prizes, incentives, souvenirs, and giveaway items

Promotional items and memorabilia, including models, and souvenirs are unallowable. Giveaway items including, but not limited to, prizes, treats, hygiene kits, and books are unallowable. [See Advertising and Public Relations](#)

[Allowable Costs Resources](#)

For questions or more information about allowable costs:

- Refer to the [Electronic Code of Federal Regulations: Title 2, Subtitle A, Chapter II, Part 200](#)
- Applicants should reach out the LSTA team at the State Library at LSTAgrants@library.ca.gov

- Awardees should contact the grant monitor assigned to their project.

Grant Budget Information

Applicants submit a proposed budget with their application. Budget descriptions must include enough information for reviewers to determine the justification of the proposed costs and ensure compliance. If awarded, the approved budget submitted with the application will be incorporated into the award letter as the official approved budget for the project.

Any change to the project budget requires written approval from State Library staff and changes to the budget that involve moving funding from one budget category to another require a [budget modification](#).

The budget categories included in LSTA application materials are:

Salaries/Wages/Benefits

Includes all salaries, wages, and fringe benefits paid to staff directly contributing to the project regardless of funding type (LSTA/Cash Match/In-kind). Position title and full time equivalent (FTE) must be included for all costs reported in this category. FTE is the proportion of a full-time employee's time spent on the proposed project. Descriptions must include position titles but not individual names. Awardees should refer to [Appendix D](#) for guidance on calculating FTE for their project.

Consultant Fees

All expenses related to acquiring the services of a consultant for a specific activity within the project should be included in this category. Includes any documented fees for professional consultation services provided by an individual, firm, or organization not directly employed by the awardee organization. Typically, consultants advise and are specialists in the specific area for which the advice is being provided. Costs may include fees, travel, accommodation, and support services hired directly by the consultant. Include the consultant name or name of the consulting firm, the area of expertise, the fee, and tasks to be carried out and deliverables to be provided for this fee. The Services category should be used to capture all other, non-consultation, services.

Travel

Travel costs must be related to the project activities and must be incurred by the library staff or formal partners working on the project, or by participants in project activities if their participation is essential and they must travel to participate. Costs may include airfare, ground transportation, accommodation, meals, etc. For airfare, economy class must be used at all times when using LSTA funds.

Description should include number of travelers, who they are, and types of travel expenditures, including how costs are calculated. (Consultant travel must be included under the Consultant Fees category.)

Applicants with a travel policy in place may use their organization's local travel reimbursement rates for most allowable travel-related expenses. The policy must be attached to the application. Policy rates must be reasonable, and reimbursement is subject to rate approval by the California State Library. Mileage is not subject to an awardee's local rates. Mileage reimbursement for all awarded LSTA grants cannot exceed the current state rate. The current mileage state rate can be located on the [CalHR Travel Reimbursements webpage](#).

Awardees will not be asked to turn travel expense receipts into the State Library but must keep these receipts in their project file (in accordance with Exhibit A: Terms and Conditions, in accordance with the Award Agreement and Certification of Compliance, Exhibit A: Terms and Conditions, Item 6: Audit and Records Access which states: *To meet federal and state requirements, Subrecipients agrees to maintain grant records for five years following the California State Library's submission of the last expenditure report for the LSTA Five-Year Plan under which the award was issued, unless a longer period of records retention is stipulated, or until completion of any action and resolution of all issues which may arise as a result of any litigation, dispute, or audit, whichever is later.* See [Appendix F](#) for more information.

Per diem rates will not be accepted. Awardee organizations that use per diem rates must either provide allowable rates that have been approved by the organization and any applicable governing body OR use the U.S. General Services Administration rates which can be found here: <https://www.gsa.gov/travel/plan-book/per-diem-rates>

Supplies/Materials

This includes items necessary to carry out the work of the grant-funded project.

Supplies: Must be project-specific, directly support the project, and may include, but are not limited to: office or craft supplies, educational materials, books that are an integral part of a project activity and enable participants to take part in the activity, small equipment (less than \$4,999 per unit), communication costs, postage, printing and photocopying, publicity, etc. Per IMLS, subscriptions and licenses are not Supplies/Materials and should be included in the Services budget category.

Materials: Books, periodicals, audiovisual formats, microforms, and other library materials to be part of the library's cataloged collection. All materials must directly support the proposed project.

Equipment (\$5,000 or more per unit)

Any single item valued at \$5,000 or more per unit belongs in the Equipment category. Written approval from the IMLS Program Officer is required prior to the purchase of equipment over \$5,000 per unit. Please note in order to comply with this federal requirement, the State Library will obtain approval from IMLS after funding for a project is approved, but before the award materials are sent out.

[Equipment requests](#) must detail the proposed expenditure, list the goal in the current LSTA Five-Year Plan for Grantmaking that the purchase supports, and describe how the purchase supports this goal.

Allowable items costing \$4,999 or under are considered small equipment and should be included under Supplies/Materials.

Services

Costs for contracted services to manage and/or implement the project activities. Examples include, but are not limited to: printing, design services, trainers, presenters, subscriptions, licenses, production of project-specific media and marketing, maintenance of equipment and/or vehicles, and building lease/rental. Description should include type of services provided and vendor names. Costs are considered "services" when a company/third party provides the services.

LSTA funds cannot be used to fund portions of contracts that fall outside of and/or extend beyond the award period. If an awardee would like to enter into a contract that extends beyond the award period, the awardee must use other, non-LSTA funds to cover the portion of the contract that runs beyond the project period end date. The awardee must obtain and keep detailed invoicing which clearly shows the proration of the portion of the contract to be paid for by LSTA funds.

A note on eBooks:

eBook costs involve licensing and belong in Services. Time-bound metered eBook titles must be limited to the project period dates and cannot exceed the project end date. Any use of metered eBook titles needs to take place within the grant period. As stated above, if an awardee would like to purchase a license that extends beyond the award period, the awardee must use other, non-LSTA funds to cover the portion of the contract that runs beyond the project period end date. The awardee must obtain and keep detailed invoicing which clearly shows the proration of the portion of the contract to be paid for by LSTA funds.

Indirect Costs

An indirect cost is the applicant's incurred cost that cannot be readily isolated or identified with just one project or activity. These types of costs are often referred to as "overhead costs." Typical examples of indirect costs are general telephone service, postage, office supplies, office space expenses, and administrative or financial operations for an entire organization.

Applicants may choose to:

- Not request any indirect costs.
- Use a current approved indirect cost rate with a federal agency or one pending review to be approved by project award date, i.e. June 30. Federal indirect cost rates are negotiated agreements between federal agencies and non-profit organizations. If the awardee organization already has an existing negotiated indirect cost rate in effect with another federal agency, they may use this rate to

calculate total project costs, as long as they apply the rate in accordance with the terms of the negotiated agreement and include a copy of the current negotiated agreement with the grant application. The State Library will only accept federally negotiated indirect cost rates that are current at the time awards are made. If an awardee is unsure whether this applies to their library, they should consult the regulations below and their organization's grants, finance, and/or legal department to determine how to proceed.

- Use an indirect cost rate not to exceed 10 percent of modified total direct costs if awardee does not have a current or pending federally negotiated indirect cost rate and is not subject to other requirements.
 - Modified Total Direct Costs (MTDC) means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subcontracts up to the first \$25,000 of each subcontract. Equipment, capital expenditures, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subcontract in excess of \$25,000 is excluded.
 - If awardee chooses to use this rate, they must be careful to exclude from the budget all indirect-cost-type items, such as general telephone service, postage, office supplies and office space expenses, and administrative or financial operations for the applicant's entire organization. As long as awardee is an eligible entity and have never had a federally negotiated indirect cost rate, they may use this rate with no additional documentation required.
 - Visit the Code of Federal Regulations for further information on those non-Federal entities described in [Appendix VII to Part 200 - States and Local Government and Indian Tribe Indirect Cost Proposals](#).

Cash Match and In-Kind Contributions

All LSTA opportunities encourage the inclusion of matching or in-kind contributions. Some funding opportunities may require this contribution.

Cash match is an applicant's estimated financial outlay, including money that may be contributed to the applicant by other public agencies and institutions, private organizations and/or individuals.

In-Kind contribution is the value placed on materials, equipment, staff time or services that are contributed toward the project without charge toward grant funding.

Awardees will be required to substantiate the value assigned to the contributions and how they assist the project.

Cash Match and In-Kind Contributions must comply with LSTA cost requirements and restrictions.

Unallowable Cash Match or In-Kind Contributions include any funding, salaries, resources, and/or services supported through other federal or state funding sources, and local funds used to purchase items that fall under unallowable cost guidelines are also not eligible to count toward a Cash Match or In-Kind Contribution.

IMPLEMENTING AN LSTA GRANT FROM THE CALIFORNIA STATE LIBRARY

Funding Notification and Award Packet

If an application is successful, the applicant organization may receive initial notification through an “intent to fund” letter. This letter may request revisions to the grant application. Prompt acknowledgement and response to this letter is needed in order for the award process to move forward.

Applicants that have proposed equipment costs in their project budget will be asked to provide information that the State Library will submit to IMLS to obtain approval for the purchase(s). Please see the [Equipment Requests and Approvals](#) section for more information.

Once the State Library has an approved application and budget on file, and the California state budget has passed for the year for which funds will be issued, the applicant organization will receive an award packet that includes an award letter detailing the award amount and the dates of the grant period and an Award Agreement and Certification of Compliance.

Award Agreement and Certification of Compliance

The Award Agreement includes the terms and conditions for the grant funding, the grant period, and reporting and payment schedules. The Award Agreement also includes a Certification of Compliance. Both the Award Agreement and Certification of Compliance must be electronically signed by the Authorized Representative officially designated to enter into contracts and agreements on behalf of the awardee organization.

Awardees are expected to adhere to all items in the Award Agreement and Certification of Compliance. Should there be a discrepancy between the Grant Guide and the Award Agreement and Certification of Compliance, the Award Agreement and Certification of Compliance shall supersede the Grant Guide.

Project Support

The California State Library supports awardees throughout the project period. Awardees are assigned a project support team that consists of a grant monitor and a Library Programs Consultant (LPC) and/or an Equity Advisor. The grant monitor is available to assist with compliance related matters and the LPC and/or Equity Advisor is available to provide programmatic support. Awardees should refer to their award letter for the details regarding their project support team.

General Expectations of Awardees

Awardees are expected to:

- Read and understand the opportunity application guidelines and instructions, grant guide, award letter, and Award Agreement and Certification of Compliance

- Designate a staff person to serve as the main point of contact between the awardee organization and the State Library, and administer the grant funds responsibly
- Follow rules and accepted practices for accounting, documentation, and recordkeeping as detailed in the Award Agreement and Certification of Compliance
- Submit regular reports in accordance with the reporting schedule included in the Award Agreement and Certification of Compliance
- Communicate promptly with their project support team, including responding to requests for information or notifying the State Library of any changes in grant scope, budget, or timeline
- Ensure that all funds are being used only for allowable costs and in accordance with all applicable laws and regulations, including meeting the State of California's required accessibility standards, as detailed in the Award Agreement and Certification of Compliance

General Award Guidelines

All awardees must adhere to the following:

- The awardee must agree to all applicable federal and state laws, rules, and regulations. This includes laws that specifically govern use of federal LSTA funds.
- Awardee matching funds and in-kind contributions are subject to the same federal and state laws, rules, and regulations that govern use of federal LSTA and state funds.
- All project activities, whether funded by grant funds, matching funds or in-kind contributions, must occur within the project period as identified in the award letter. Awardees should consult their grant monitor if they incurred project costs prior to the start of the project period. Grant funds may not be used toward project costs and obligations that were incurred after the end of the grant period.
- Any changes in personnel relating to administration of the grant during the grant period should be reported to the State Library before the change is made.
- [Budget modifications](#) must be submitted in writing and approved by State Library staff.
- Grant funds must be fully dedicated to the grant project and used for approved budget expenses only.
- Grant recipients must establish and maintain a separate accounting category in the awardee organization's internal account system for the grant funds.
- Awardees must comply with Exhibit A: Terms and Conditions, Item 6: Audit and Records Access in the Award Agreement and Certification of Compliance which states: *To meet federal and state requirements, Subrecipients agrees to maintain grant records for five years following the California State Library's submission of the last expenditure report for the LSTA Five-Year Plan under which the award was issued, unless a longer period of records retention is stipulated, or until completion of any action and resolution of all issues which may arise as a result of any litigation, dispute, or audit, whichever is later.* See [Appendix F](#) for more information.

Project Period

LSTA opportunities are typically offered on an annual basis for a project period of one year. Some project periods however may run shorter or longer than one year, not to exceed 15 months. Project periods may not extend beyond the end of the federal fiscal year.

Reporting

Regular reports are required throughout the award period and following the conclusion of the project. Reports are due according to the reporting schedule outlined in the Award Agreement and Certification of Compliance provided in the award packet. The awardee must submit all reports on or before the date the report(s) are due.

All required LSTA reports including Activity Reports are completed in the State Library's online grants management system. For detailed reporting instructions and to locate the grants management system portal link for a specific grant opportunity, please visit the [Manage Your Current Grant webpage](#).

Awardees must complete all applicable fields in each report. The project support team is available to provide support as needed.

Once a submitted report has been approved by the State Library, the grant monitor will route the report for signature electronically. This routing will include signature by organization's Authorized Representative. A report is not considered complete until the signature process has concluded. Awardees should save a signed copy of the report as part of their grant records.

LSTA awardees will complete the following reports:

- Baseline Self-Assessment
- Financial Reports
- Mid-project Program Narrative Report
- Final Financial Expenditure Detail Report
- Final Program Narrative Report
- Activity Reports
- Liquidation Report (if applicable)

Baseline Self-Assessment

Awardees complete a self-assessment three times during the project period: (1) at the beginning of the grant period, (2) as part of the mid-project report, and (3) as part of the final reporting. The self-assessment is designed to help the awardee and the State Library measure progress. Awardees work with their project support team to complete this self-assessment.

Summary Financial Report

Financial reports enable the awardee, their project support team, and State Library staff to ensure that project spending remains on track and in compliance. Awardees complete financial reports on a quarterly basis unless otherwise specified (please refer

to the Award Agreement and Certification of Compliance document for reporting schedule).

Mid-project Program Narrative

Mid-project narrative reports capture the project's progress midway through the project period. They enable awardees to share successes and allow the project support team to understand any challenges, programmatic or financial, the project may be facing and provide support as needed. The second self-assessment is submitted with the mid-project program narrative, and awardees work with their project support team to complete this assessment.

Detailed Financial Report

This report captures, details, and describes all project expenditures that occurred over the entire project period. Awardees complete the Financial Expenditure Detail Report at the conclusion of the project period.

Final Program Narrative Report

Final narrative reports capture the project's progress throughout the project period. They enable awardees to share successes and outcomes and report. The final self-assessment is submitted with the final program narrative, and awardees work with their project support team to complete this assessment.

Activity Reports

Activity reports provide specific information about the actions that were taken to implement the funded project.

Awardees must complete one activity report for each project activity that used 10 percent or more of the project's budget. This may include activities supported by LSTA grant funding and/or matching funds and in-kind contributions. If a project activity used less than 10 percent of the project's budget, but involved great effort to implement, was fundamental to the success of the project, and/or had a significant impact, awardees should also report on that activity.

Activity reports are separate reports and are available in the State Library's grants management system. They are submitted to the State Library along with the final narrative, summary financial, and detailed financial reports.

For detailed information about completing activity reports, instructions for each type of report are available on the [Manage Your Current Grant page](#).

The project support team is available to provide support as awardees complete activity reports.

Activity reports provide specific information about what actions an awardee took to implement their program. The assigned project support team can help awardees select the correct activity types and modes for their project.

Outcomes Surveys

Awardees that implement the following types of activities are **required to gather and submit outcomes data** using survey questions developed by IMLS:

- Instruction activities delivered as programs for the benefit of the library workforce or for the general public.
- Content acquisition or creation activities for the benefit of the library workforce.
- Planning and evaluation activities for the benefit of the library workforce.

The State Library is required to submit reported outcomes data to IMLS.

Please see [Appendix E](#) for the required outcomes survey questions.

Awardees are responsible for collecting, organizing, and storing their data locally, and must report their survey data in their final narrative report to the State Library.

Awardees should connect with their project support team to confirm when and how they will issue surveys and with any questions relating to the survey requirement.

State Program Report

IMLS uses the State Program Report to collect data from the 50 states, the District of Columbia, and the U.S. territories for the IMLS Grants to States Program.

The federal government requires reporting by the California State Library before future LSTA funds are made available. Prompt reporting by the State Library to IMLS relies on prompt reporting from awardees to the State Library.

Final reports from awardees provide critical project information and data to the State Library and are used when completing the State Program Report for California.

Equipment Requests and Approvals

Applicants that propose equipment costs in their application are asked in the funding notification letter to provide the following information in order for the State Library to pursue IMLS approval of the proposed equipment. Awardees are also asked for this information if they request a [budget modification](#) during the grant period that proposes to add equipment to the project's budget.

- Cost of equipment
- Name of equipment
- Name of purchaser (awardee organization's name)
- The goal in the State Library's Five-Year Plan for Grantmaking that would be supported by equipment purchase and how the purchase supports the goal
- Purpose for which the equipment will be used

Project Revisions

Even the best-made plans change. Project plans and budgets are no exception. The key to managing these changes successfully is to discuss any issues with the project

support team *before* making any decisions or obligations. Most project revisions must be submitted in the State Library's grants management system. Approval from the grant monitor is needed before the changes can be implemented.

Budget Modifications

Changes to a project's budget can and do occur. Awardees are responsible for notifying their project support team if unforeseen developments require modifying the approved project budget, including moving budgeted funds between categories/subcategories.

The project support team should be notified of any potential changes (including those within the same budget category) so they can verify the allowability of costs or charges.

A budget modification request must be submitted to request modifications of any amount. Furthermore, modifications should be reflected on the next financial report. Any modifications in the approved budget must be documented, and that documentation must be retained in the project files. All budget modifications should be submitted no later than 30 days before the project end date.

Funds may not be moved into a category for which no funding was originally approved without the move being discussed and approved in advance by the grant monitor.

Changes that involve additional equipment (\$5,000 or more per unit) require IMLS approval. A detailed justification for the equipment is required.

Modifications to budgets that do not involve moving funding from one budget category to another do not require a formal budget modification to be submitted. However, awardees must notify their project support team in writing of any such changes.

Budget Augmentation

A budget augmentation occurs if a project receives additional funding to augment the original approved award amount. A formal request submitted in the State Library's grants management system is required for budget augmentations. The form must be submitted no later than three days before the project end date. The budget modification request must be approved by the grant monitor.

Implementation/Project Changes

Implementation and/or project changes are those that change the project's stated activities or outputs or impact the timeline for delivering project outputs or activities. They may include changes like a reduction in the number of workshops offered due to unforeseen circumstances, or a delay in equipment availability or delivery due to circumstances beyond the awardee's control. To manage any changes successfully, awardees should contact their project support team as soon as they occur or are expected to occur.

Personnel Changes

Any time there is a change in the staff assigned to directly work on the project, the awardee must notify their project support team. This notification may be made via email.

Unexpended Funds/Returning Funds

All grant funds should be expended in full in support of approved project activities and goals. If project plans change during the year and awardees anticipate not spending their grant funds in full, they must contact their project support team as soon as possible so that the funds can be returned to the State Library and re-awarded to support another project.

If any funds remain unexpended at the end of the project period, they must be returned following the project end date and submission of final reports. These funds cannot be re-awarded to another project and must be returned by the State Library to the Institute of Museum and Library Services.

Liquidation

Once the project period has ended, no new expenditures may be generated, nor may any additional project activities occur.

Unexpended funds must be returned following the project end date and submission of final reports. However, if unexpended funds were encumbered prior to the end date, awardees are allowed 45 days to liquidate those encumbrances and must submit a liquidation report showing this within 60 days following the project end date.

Outstanding encumbrances must align with all LSTA rules, regulations, and allowable cost requirements. These encumbrances must support allowable project costs and activities that were incurred/took place during the project period.

A liquidation report must be submitted within 60 days of the project end date for projects with unexpended funds. The State Library's Fiscal team will be in touch following the submission of liquidation reports that involve unexpended funds and provide instructions for returning project funds to the State Library.

Any funds not liquidated are to be captured on the liquidation report which is to be returned within **60 days** of the project end date. The State Library's Fiscal team contacts awardees following the submission of liquidation reports that involve unexpended funds and provides instructions for returning project funds to the State Library.

Project Extensions

Awardees are expected to complete the grant-funded project within the approved project period. If unforeseen circumstances arise and the awardee considers that an extension is needed to complete the project successfully, they must notify their project support team immediately. Extensions are approved on a case-by-case basis and approval depends on multiple factors including the need and reason for the request

and the amount of time remaining in the federal award period. Approval of extensions requests is not guaranteed.

Extension requests must be submitted via the State Library's grant management system. When requesting an extension, awardees are asked for the following information:

- Award number
- Organization name
- Project title
- Requested project period end date
- Requested final reporting deadline
- Reason/justification for extension

Project Cancellation

If the grant-funded project cannot be implemented or completed, for any reason, the awardee must notify their project support team immediately.

Acknowledgment/Recognition Requirements

LSTA awardees are required to acknowledge IMLS and the State Library on all publications and information releases about an LSTA-funded project, as well as materials produced as part of LSTA-funded projects (e.g. project websites, toolkits, outreach materials, etc.). As part of the project publicity, awardees are encouraged to use newspaper articles, op-ed pieces, radio and TV interviews, website links, tweets, and other social media activities to extend the impact of their effort.

An appropriate acknowledgement statement is:

- *This [publication/project] is supported in whole or in part by the U.S. Institute of Museum and Library Services under the provisions of the Library Services and Technology Act, administered in California by the State Librarian.*
- *Esta [publicación / proyecto] es apoyada en su totalidad o en parte por el Instituto de Servicios de Museos y Bibliotecas de EE. UU. según las provisiones del acta de Servicios y Tecnología de Bibliotecas, administrada en California por el Bibliotecario del Estado.*

As appropriate, this disclaimer should be added:

- *The opinions expressed herein do not necessarily reflect the position or policy of the U.S. Institute of Museum and Library Services or the California State Library, and no official endorsement by the U.S. Institute of Museum and Library Services or the California State Library should be inferred.*
- *Las opiniones expresadas en este documento no reflejan necesariamente la posición ni póliza del Instituto de Servicios de Museos y Bibliotecas de los EE. UU. o la Biblioteca Estatal de California, como tampoco infiere ningún respaldo oficial por parte del Instituto de Servicios de Museos y Bibliotecas de los EE. UU. o la Biblioteca Estatal de California.*

IMLS acknowledgement resources:

- [IMLS Acknowledgement Requirements and Communication Kit](#)
- [IMLS Logos](#) (if using an IMLS logo, awardees must adhere to the [IMLS Logo Standards Guide](#))

Where possible, awardees should place the IMLS and California State Library logos on any publication, vehicle wrap, or promotional material along with the above statement(s). The project support team can provide the current State Library logo as needed. Awardees should contact their project support team if they are unable to include the logos.

Digital photos are a great way to document funded projects. Awardees should follow local procedures when obtaining photo releases from the public. Only photos for which a release has been obtained should be submitted to the State Library. Awardees may use their library's photo release form or contact their project support team for the State Library form.

Accessibility

The State is responsible for ensuring that public resources are accessible to both the general public and state employees, including persons with disabilities. Awardees shall assist the State in meeting this responsibility. Therefore, LSTA-funded project materials must meet the California Accessibility Standards. Additionally, all project materials designed, developed, and maintained shall be in compliance with the California Government Code, sections 7405 and 11135, and the Web Content Accessibility Guidelines 2.0, or a subsequent version, as published by the Web Accessibility Initiative of the World Wide Web Consortium at a minimum Level AA success criteria.

If for some reason project material is not generated to be in compliance to meet these standards, please still submit it to the State Library. When submitting the material make sure to note that the material is not accessible by including "NOT ACCESSIBLE" in the file name.

The California State Library reserves the right to post project materials to its website that are in compliance with these standards.

Additional accessibility resources:

- State of California's Accessibility webpage
- Americans with Disabilities Act Notice
- California Commission on Disability Access
- California Department of Rehabilitation
- U.S. Access Board

Accounting

All awardees, regardless of funding source, are required to use generally accepted accounting principles in documenting all grant expenditures and revenue (if applicable).

Federally-funded projects (LSTA) require that separate accounting be maintained in accordance with accepted standard accounting practices to ensure responsible project management and the ability to submit timely, accurate financial reports. If applicable, awardees receiving revenue such as workshop fees must also maintain separate income accounts. Furthermore, if an awardee receives more than one grant, a separate line item in the awardee organization's budget must be established for auditing purposes for each grant. Funds must be administered by the awardee identified in the award agreement.

Financial Claims Process

Depending on the grant program, funds might be disbursed as advances or reimbursements. Awardees should refer to their award agreement to see which applies to their project. In order to request payment, awardees must complete and submit a Financial Claim Form signed by the Authorized Representative for the awardee organization. The initial Financial Claim Form will be included with the award packet.

IMPORTANT: After a signed claim form has been received by the State Library, it may take approximately six to eight weeks to receive a grant disbursement, provided that the form was submitted without errors. By submitting an application for funding, awardees acknowledge they are aware of this timeline, and confirm they will be able to start and continue their project, as needed, before grant funds arrive.

Records Retention and Audits

Per the Award Agreement and Certification of Compliance, to meet federal and state requirements, awardee agrees to maintain grant records for five years following the California State Library's submission of the last expenditure report for the LSTA Five-Year Plan under which the award was issued, unless a longer period of records retention is stipulated, or until completion of any action and resolution of all issues which may arise as a result of any litigation, dispute, or audit, whichever is later.

Awardees should see [Appendix F](#) for a detailed records retention schedule and to determine until what date they must retain their award records.

Recordkeeping

The State Library recommends that awardees retain the following documents as part of their grant file:

- Original grant application
- Award Letter
- Award Packet including Certification and Claim forms
- Any amendments to the Award Letter and Award packet that occur.

- Any change requests or other correspondence with the State Library or vendors
- All claim forms
- Grant deposits
- Bills, invoices and receipts relating to LSTA purchases.
- Payments, received and made
- Audit and paper trails that document grant expenditures
- All project reports (quarterly, mid-year and final)
- Final reports (including grant reports and local audit reports)
- Budget modification/augmentation request forms
- Approved budget modification/augmentation forms
- Budget modification/augmentation approval letters
- Formal correspondence received from the State Library (i.e. project title changes, project support team changes, extensions, and/ or any other official letters)
- Informal correspondence received from the State Library (i.e. notifications, approvals, and information received via email)
- Indirect cost rate proposals and cost allocation plans.
- Records for real property and equipment acquired with Federal funds shall be retained for 5 years after final disposition.

All records for each project must be maintained separately from those of other projects. Accounting records should be supported by source information such as canceled checks, paid invoices, and payrolls. The State Library must have access to these grant records if requested.

Audits

Auditors must be allowed access to records during normal business hours and to interview any employees who might reasonably have information related to such records. Further, the awardee agrees to include a similar right of the State to audit records and interview staff in any subcontract related to performance of this Agreement.

Examples of audit documentation may include, but are not limited to, competitive bids, grant amendments, if any, relating to the budget or work plan, copies of any agreements with contractors or subcontractors if utilized, expenditure ledger, payroll register entries, time sheets, personnel expenditure summary form, travel expense log, paid warrants, contracts and change orders, samples of items and materials developed with grant funds, invoices and/or cancelled checks.

Disposition of Grant-Funded Equipment

When equipment acquired using federal funds is no longer needed for the original project or program or for other activities currently or previously supported by federal funds, awardees must request disposition instructions from the State Library.

Disposition is an action which reduces awardees' control of LSTA-funded equipment. Disposition includes, but is not limited to: selling, loaning, exchanging, trading in, transferring, donating, destroying, or using the equipment for purposes other than

supporting the authorized LSTA project. When acquiring replacement equipment, the awardee may use the equipment to be replaced as a trade-in, subject to prior approval by the State Library.

- **For all equipment:** Per IMLS, equipment purchased via federal grant funds that is no longer in use should be passed on to another party who may use it in a similar way in which it was originally used for the funded project.
- **For equipment with a fair market value of \$5,000 or more:** The awardee may retain or sell the equipment and the federal government shall have a right to an amount calculated by multiplying the current market value or proceeds from the sale by the federal government's share of the equipment. This amount is payable to the State Library as the administrative agency for the LSTA grant. All disposition of such equipment must have prior written approval from the State Library.
- **For equipment with a fair market value of less than \$5,000:** The awardee may retain, sell, or otherwise dispose of the equipment with no further financial obligation to the federal government BUT must notify the State Library about such a disposition.

Grant Closeout Procedures

All grant funds should be expended in full in support of approved project activities and goals. If project plans change during the year and awardees anticipate not spending their grant funds in full, they must contact their project support team as soon as possible so that the funds can be returned to the State Library and re-awarded to support another project.

If any funds remain unexpended at the end of the project period, they must be returned following the project end date and submission of final reports. These funds cannot be re-awarded to another project and must be returned by the State Library to the Institute of Museum and Library Services.

Comments, Feedback, and Complaints

LSTA comments, feedback, and complaints should be submitted via email to LSTAGrants@library.ca.gov.

APPENDIX A: GLOSSARY AND KEY DEFINITIONS

Activity

An action or actions through which the intent of a project is accomplished.

Acquisition (activity mode)

Acquisition is a type of Content activity mode. Acquisition involves selecting, ordering, and receiving materials for library or archival collections by purchase, exchange, or gift, which may include budgeting and negotiating with outside agencies (e.g., publishers, vendors) to obtain resources. May also include procuring software or hardware for the purposes of storing and/or retrieving information or enabling the act of experiencing, manipulating, or otherwise interacting with an information resource.

Advances

Grant funding disbursed based on estimated costs, according to the payment schedule specified in the grant agreement.

Award Letter

Official correspondence notifying an applicant that they will receive funding for the project detailed in their grant application. Award letters typically specify the grant terms and any adjustments that need to be made in order to execute a grant agreement. Award letters also include the name(s) and contact information for the project support team assigned to the project.

Co-Design

The process of designing programs and services together *with* community members, instead of making decisions *for* community members. Co-design enables library workers to build strong relationships with the community and empowers community members to take a lead in the design and implementation of library programs and services. Co-design democratizes the design of services by equalizing the power dynamics between multiple community assets, making everyone partners in the design of programs and services. Inviting a group of teens to be part of a library's Teen Advisory Board to co-develop, co-plan and co-implement library programs for teens in that community is an example of co-design.

(Adapted from the "Our Philosophy" page of the VRtality website:

[https://www.vrtality.org/about/our-philosophy/.](https://www.vrtality.org/about/our-philosophy/))

Community Aspirations

Shared hopes and ambitions directed toward achieving one or more goals in the community. Aspirations are often presented as a counterweight during discussions that may focus solely on "need" and/or "deficits."

(For more information about aspirations, see the Harwood Tools page on the California State Library website: <https://www.library.ca.gov/services/to-libraries/harwood/tools/>)

Community Connection

Organization that supports an awardee's project, but with which the awardee does not have a formal, signed agreement.

Community Needs

Needs are the gap between what is and what should be. A need can be identified by an individual, a group, or an entire community. At the community level, the question becomes: what does the community need from the library? The data that goes into that process is often complicated and layered, but at its core it is identifying a need that is within the service area of the library and identifying library activities and services that can be used to address that need.

(Adapted from the Community Tool Box, a service of the Center for Community Health and Development at the University of Kansas at <https://ctb.ku.edu/en/table-of-contents/assessment/assessing-community-needs-and-resources/develop-a-plan/main> and from "Know Your Neighborhood: A Community Needs Assessment Primer" by Lisa G. Kropp: <https://www.slj.com/story/know-your-neighborhood-a-community-needs-assessment-primer>)

Community of Practice

A community of practice is a group of people who share a common concern, a set of problems, or an interest in a topic, and who come together to fulfill both individual and group goals. Communities of practice meet regularly and often focus on sharing best practices and creating new knowledge to advance a domain of professional practice.

(Adapted from the Edmonton Regional Learning Consortium at: <https://www.communityofpractice.ca/background/what-is-a-community-of-practice/>)

Community Stakeholders

Community members and groups for whom the outcomes of library work are important. Community stakeholders include any individuals or groups, including end users, who see the library as valuable to solving community problems and addressing challenging issues related to the stakeholder's role in the community. A school district may be a community stakeholder for an early literacy project, for example, because early literacy affects the work of school districts.

Compliance

An evidence-based assessment of whether an awardee is meeting the expectations, rules, and requirements set forth in a grant agreement.

Consultant

An individual or individuals who are providing specialized expertise that directly supports grant project activities but who are not performing those activities themselves.

Consultation (activity mode)

Consultation is a type of Instruction activity mode. Consultation involves informal interaction with an individual or group of individuals; the provision of expert advice or reference services to individuals, units, or organizations.

Contracted Services

Services that directly support grant project activities. Services rendered may be provided under a formal agreement between the awardee and the service provider.

Content (activity type)

Involves the acquisition, development, or transfer of information. For example, the purchase of subscription for an on-line learning platform, or a selection of books.

Creation (activity mode)

Creation is a type of Content activity mode. Creation involves the design or production of an information tool or resource (e.g., digital objects, curricula, manuals). Includes digitization or the process of converting data to digital format for processing by a computer.

Data-Driven Decision Making

Using facts, metrics, and other data and information to guide decisions relating to planning and implementing library programs and services.

Description (activity mode)

Description is a type of Content activity mode. It involves the application of standardized descriptive information and/or application of such information in a standardized format to items or groups of items in a collection for purposes of intellectual control, organization, and retrieval.

Direct costs

Direct costs are those costs that can be identified specifically with a particular final cost objective, such as a Federal award, or other internally or externally funded activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Identification with the Federal award rather than the nature of the goods and services involved is the determining factor in distinguishing direct from indirect (F&A) costs of Federal awards.

Disbursement

Payment of grant funds to awardee that has met appropriate conditions as specified in the grant agreement.

Equipment

A single item or unit valued at \$5,000 per unit that is necessary to achieve the grant project goals. LSTA-funded grants require written approval from IMLS before equipment is considered allowable and can be purchased. See [requirements regarding disposition of equipment](#) purchased with LSTA funds.

Equity

Equity is providing fair treatment, access, and opportunity for the advancement for all people, while at the same time striving to identify and eliminate barriers that have prevented full participation from some individuals or groups. Improving equity involves increasing justice and fairness within the procedures and processes of institutions or systems, as well as in their distribution of resources.

(Adapted from Worcester State University, "Definitions of Diversity, Equity, and Inclusion," at <https://www.worcester.edu/diversity-inclusion-equal-opportunity/definitions-of-diversity-equity-inclusion/>)

Equity-Based Community Involvement

The practice of embedding equity at the center of all shared community programs, services, and efforts. Equity must be at the center of both the co-design process and program implementation, and not seen as an add-on.

(Adapted from: <http://wec.wceruw.org/documents/Guide-Centering-Equity.pdf>)

Evaluation

A periodic assessment of the awardee's performance based on parameters outlined in the grant agreement. A negative evaluation may result in findings and recommendations for the awardee to improve performance.

Finding

Outcomes of a program evaluation that may identify performance issues that need to be addressed in order to remain in compliance with the grant agreement.

Format (in activity reports)

Formats are characteristics of a Mode. They provide further information about how an activity is delivered, created, or experienced, for example, in-person, virtual, or in-person-and-virtual as well as physical or digital.

Grant Period

The period during which grant activities may begin and costs can be incurred. The grant period generally begins upon full execution of a grant agreement and lasts through the term specified in the agreement. The grant period may be extended depending on the project and funding source requirements.

Indirect Costs

An incurred cost that cannot be readily isolated or identified with just one project or activity. These types of costs are often referred to as "overhead costs." Typical examples of indirect costs are general telephone service, postage, office supplies, office space expenses, and administrative or financial operations for an entire organization.

Intent

An objective or expected result in a project. For LSTA, Intents are mapped to the six focal areas: Lifelong Learning, Information Access, Institutional Capacity, Employment and Economic Development, Human Services, or Civic Engagement. In terms of the grant application, your project may have only one Intent.

Instruction (activity type)

Involves an interaction for knowledge or skill transfer, for example, a digital literacy class for seniors.

Lending (activity mode)

Lending is a Content activity mode. Lending involves the provision of a library's resources and collections through the circulation of materials (general circulation, reserves). May also refer to the physical or electronic delivery of documents from a library collection to the residence or place of business of a library user, upon request.

Library Consortium

Any local, statewide, regional, interstate or international cooperative association of library entities which 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 library entities.

Library Development Services (LDS)

A Bureau of the California State Library. Library Development Services staff members administer state and federal grant programs for California's libraries; develop statewide programs and initiatives; collaborate with local, state, and federal agencies; support library partnerships and resource-sharing; and collect, analyze, and disseminate library statistics.

Library Workers

All levels of library staff, including library directors and leadership staff members, as well as paraprofessionals such as library pages.

Match

A contribution made by the awardee toward the grant-funded project. A match may be required by the specific grant opportunity. The grant opportunity may specify whether a match may be a "cash match" or an "in kind" match.

- *Cash Match:* Refers to the applicant's estimated cash outlay, including money that may be contributed to the applicant by other public agencies and institutions, private organizations and/or individuals. If the applicant will be appropriating funds specifically for the project, then that would be a cash match.
- *In-kind:* Refers to the value put on materials, equipment, staff time or services that are given without charge to the program or organization. In this case the applicant should be able to substantiate the value assigned to the contributions and how they assist the project.

Marginalized Populations and Communities

Groups and communities that experience discrimination and exclusion (social, political and economic) because of unequal power relationships across economic, political, social and cultural dimensions. (Adapted from:

<https://nccd.ca/glossary/entry/marginalized-populations#:~:text=Marginalized%20populations%20are%20groups%20and,political%20C%20social%20and%20cultural%20dimensions.>)

Mode (in activity reports)

Mode represents how an activity is delivered, created, or experienced, for example, through a program or presentation, or through the act of lending or preservation. For LSTA, each type of Activity has specifically defined Modes.

Outcomes

Outcomes are the benefits participants derive from or changes that occur in response to an activity or project.

Outlet

Individual library facility, including central or branch library or bookmobiles, that at a minimum has an organized collection of publicly-available library materials, paid staff, and regularly scheduled hours of operation for public use.

Outputs

Quantifiable measures of services and/or products to be created/provided through the grant project activities that will reach or impact a specific population or target audience.

Partners and Partnerships

Groups with which a library has a formal agreement to conduct shared work toward common goals. Not to be confused with community connections, which are groups with which a library has a *informal* agreement to conduct shared work toward common goals.

Project

A set of discrete and interdependent activities carried out to achieve an intended outcome. Contains allocable resources (e.g., dollars spent, people responsible for accomplishing tasks, venue or service location(s), time spent).

Project Partner

A cooperating institution, designated through a formal, signed agreement, which contributes resources (materials/funds/staff) to one or more project activity or activities. *Organizations or individuals acting as contractors under the project are not considered to be "partners".*

Planning & Evaluation (activity type)

Involves design, development, or assessment of a project, program, service, operation, resource and/or user group. For example, a year-long assessment of the library's early literacy storytimes, including surveys and focus groups.

Presentation (activity mode)

Presentation is an Instruction activity mode. Presentation involves formal interaction and passive user engagement (e.g., an author's talk).

Preservation (activity mode)

Preservation is a Content activity mode. Preservation involves the effort that extends the life or useful life of a living or non-living collection, the individual items or entities included in a collection, or a structure, building, or site by reducing the likelihood or speed of deterioration.

Procurement (activity type)

Involves purchasing facilities, equipment/supplies, hardware/software, or other materials (not content) that support general library infrastructure. For example, purchase of a bookmobile. Procurement activities are rare.

Program (activity mode)

Program is an Instruction activity mode. A program involves Formal interaction and active user engagement (e.g., a class on computer skills).

Prospective (activity mode)

Prospective is a type of Planning and Evaluation activity mode. The prospective activity mode is an effort that involves assessments of a future condition of a project, program, service, operation, resource, and/or user group.

Records

Material documenting the progress of a grant funded project implementation and expenditures, subject to audit and review for a period of time following the end of the grant period.

Reimbursements

Grant funding disbursement made based on real costs incurred, supported by documentation as specified in the grant agreement.

Retrospective (activity mode)

Retrospective is a type of Planning and Evaluation activity mode. The retrospective activity mode is an effort that involves historical assessments of the condition of a project, program, service, operation, resource and/or user group.

State Program Report (SPR)

The SPR is a reporting tool used by the 50 states, the District of Columbia, and the U.S. territories for the Grants to States program. The purpose of the SPR is to provide a record of grant-funded projects, collect information on project outcomes, and share promising practices. IMLS uses these data to report to Congress and the Office of Management and Budget about the agency's progress on addressing its strategic goals. The California State Library is required to complete the SPR annually.

APPENDIX B: REGISTRATION REQUIREMENTS – UNIQUE ENTITY IDENTIFIER (UEI)

Registration Requirements

Organizations must maintain current information in SAM, including information on their immediate and highest-level owner and subsidiaries, as well as on all of predecessors that have been awarded a federal contract or federal financial assistance within the last three years, if applicable. IMLS may reject an application if the SAM registration is not active and current at the time of submission. IMLS may determine that an applicant without an active and current SAM registration at the time an award is made is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

Unique Entity Identifier

The Unique Entity Identifier (UEI) number is a non-proprietary alphanumeric identifier assigned to all entities (public and private companies, individuals, institutions, or organizations) who register to do business with the Federal Government. The UEI replaced the D-U-N-S® Number in April of 2022 and is assigned by, the System for Award Management (SAM). Starting on April 4, 2022, the UEI became mandatory and the D-U-N-S® Number is longer accepted.

System for Award Management (SAM)

The System for Award Management (SAM) is a federal repository that centralizes information about grant applicants and recipients. There is no fee to register with SAM.

APPENDIX C: CHILDREN'S INTERNET PROTECTION ACT (CIPA) COMPLIANCE

Internet Certification and Signature - IMLS establishes guidelines to ensure that the California State Library's implementation of the Children's Internet Protection Act (CIPA) complies with the 2003 decision of the US Supreme Court. The California State Library is required by 20 U.S.C. Section 9134(b)(7) to provide assurance that it will comply with 20 U.S.C. Section 9134(f), which sets out standards relating to Internet Safety for public libraries and public elementary school and secondary school libraries.

Under CIPA, California State Library must assure the Federal Government that no funds will be made available for public libraries and public elementary and secondary school libraries to purchase computers to access the Internet or pay for the direct costs of accessing the Internet unless the libraries have certified that they have Internet safety policies and technology protection measures, e.g., software filtering technology, in place. California State Library must collect certifications from libraries subject to CIPA that apply to the States for LSTA funding. Public libraries and public elementary and secondary school libraries must be in compliance with CIPA to obtain IMLS State Program funding which will be used to purchase computers used to access the Internet or to pay for direct costs associated with accessing the Internet.

The authorized representative applying for LSTA funding, must certify that the library is one of the following:

An individual applicant that is CIPA compliant

The applicant library, as a public library, a public elementary school library or a public secondary school library, has complied with the requirements of Section 9134(f)(1) of the LSTA.

Representing a group of applicants. Those applicants that are subject to CIPA requirements have certified they are CIPA compliant

All public libraries, public elementary school libraries, and public secondary school libraries, participating in the application have complied with the requirements of Section 9134(f)(1) of the LSTA. The library submitting this application has collected Internet Safety Certifications from all other applicants who are subject to CIPA requirements. The library will keep these certifications on file with other application materials, and if awarded funds, with other project records.

Not Subject to CIPA Requirements

CIPA requirements do not apply because no LSTA funds made available under this grant program will be used to purchase computers that can access the Internet or to pay for direct costs associated with accessing the Internet.

Have the authorized representative sign the application form, certifying the organization's CIPA status and authorization for this project.

APPENDIX D: FULL TIME EQUIVALENT (FTE) AND ESTIMATING TIME ALLOCATIONS

The following provides two ways to calculate FTE.

Option 1: divide the number of hours worked per week by 40 hours.

5 days per week	40 hours per week	1 FTE
4 days per week	32 hours per week	.8 FTE
3 days per week	24 hours per week	.6 FTE
2.5 days per week	20 hours per week	.5 FTE
1 day per week	8 hours per week	.2 FTE
.5 (one half) day per week	4 hours per week	.1 FTE
.25 day per week	2 hours per week	.05 FTE

Option 2: divide the number of hours worked in the year by 2080.

40 hours per week x 52 weeks	2080 hours per year	1 FTE
20 hours per week x 52 weeks	1040 hours per year	.5 FTE
10 hours per week x 12 weeks (summer)	120 hours per year	.06 FTE
40 hours per week x 32 weeks	1,200 hours per year	.62 FTE
40 hours per week x 1 week (one-week project)	40 hours per year	.02 FTE

APPENDIX E: OUTCOMES SURVEY INFORMATION

Awardees that implement the following types of activities are **required to gather and submit outcomes data** using survey questions provided by IMLS:

- Instruction activities delivered as programs for the benefit of the library workforce or for the general public.
- Content acquisition or creation activities for the benefit of the library workforce.
- Planning and evaluation activities for the benefit of the library workforce.

The State Library is required to submit reported outcomes data to IMLS.

Awardees are responsible for collecting, organizing, and storing their data locally, and must report their survey data in their final narrative report to the State Library.

Awardees should connect with their project support team to confirm when and how they will issue surveys and with any questions relating to the survey requirement.

Important: awardees are not required to survey activity participants under the age of 18.

The following table details when to survey participants in a LSTA-funded project activity.

		Beneficiary	
		Library Workforce	General Public
Activity	Instruction	Yes if mode is Program	Yes if mode is Program
	Content	Yes if mode is Acquisition or Creation	No
	Planning & Evaluation	Yes	No
	Procurement	No	No

Required Outcome Survey Questions and Response Options

Required outcomes survey questions and response options are listed below for reference. Survey forms are available for download on the State Library's [Manage Your Current Grant page](#).

Instruction (Program) – Library Workforce

- I learned something by participating in this library activity.
- I feel more confident about what I just learned.
- I intend to apply what I just learned.
- Applying what I learned will help improve library services to the public.

Instruction (Program) – General Public

- I learned something by participating in this library activity.
- I feel more confident about what I just learned.
- I intend to apply what I just learned.
- I am more aware of resources and services provided by the library.
- I am more likely to use other library resources and services.

Content (Acquisition or Creation) – Library Workforce

- I am satisfied that the resource is meeting library needs.
- Applying the resource will help improve library services to the public.

Planning & Evaluation – Library Workforce

- I believe the planning and evaluation addresses library needs.
- I am satisfied with the extent to which the plan or evaluation addresses library needs.
- I believe the information from the plan or evaluation will be applied to address library needs.

Response options

- Strongly Disagree
- Disagree
- Neither Agree nor Disagree
- Agree
- Strongly Agree
- Or, non-response

APPENDIX F: RECORD RETENTION SCHEDULE

All records that pertain to LSTA-funded projects must be kept for a minimum of five years following the California State Library's submission of the last expenditure report for the LSTA Five-Year Plan under which the award was issued.

Five-Year Plan Period	State Library's Submission Deadline of Last Expenditure Report	IMLS Record Retention Release Date	Retention Period End Date
FFY 2028 – 2032	January 30, 2034	January 30, 2037	January 30, 2039
FFY 2023 – 2027	January 30, 2029	January 30, 2032	January 30, 2034
FFY 2021 – 2022	January 30, 2024	January 30, 2027	January 30, 2029
FFY 2018 – 2020	December 30, 2021	December 30, 2024	December 30, 2026
FFY 2013 – 2017	December 30, 2018	December 30, 2021	December 30, 2023
FFY 2008 – 2012	December 30, 2013	December 30, 2016	December 30, 2018